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DATE:

February 26, 2007

PTO IDENTIFIER:

Application Number

10/010,942-Conf. #5594

Patent Number

inventor:

Guriq BASI et al.

MESSAGE TO:

US Patent and Trademark Office

FAX NUMBER:

(571) 273-8300

FROM:

LAHIVE & COCKFIELD, LLP

Amy E. Mandragouras, Esq.

PHONE:

(617) 227-7400

Attorney Dkt. #:

ELN-002

PAGES (Including Cover Sheet): 114

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Transmittal (1 page)

Petition for Reconsideration Under 37 CFR 1.705(b) and/or 1.705(c)

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Certificate of Transmission (1 page)

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Application No. (if known): 10/010,942

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Fee Transmittal (1 page)

Petition for Reconsideration Under 37 CFR 1.705(b) and/or 1.705(c)

Exhibits 1-17

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PTO/SB/21 (09-08)
Approved for use through 03/31/2007 OMB 0651-0031

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			Examiner Name	K. A Ballard
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Certified Copy Document(s) Reply to Missi	ing Parts/	CD, Numb	or Refund per of CD(9) discape Table on CD	37 CFR 1.705(b) and/or 1.705(c); Exhibits 1-17; Certificate of Transmission under 37 CFR1.8
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Date	February 26, 2007	<u></u>		
I nareby certify the Trademark Office, below.	at this paper (along with a factoriale no (571) 273-8	iny paper paterneu te 3300 ay Commission Signature	er to Patents: P O Box 1450	o) is being transmitted by facsimile to the Patent, Alexandria, VA 22313-1450 on the gate snow. (Amy E Mandragouras, Esq.)

FEB 2 6 2007

PTO/SB/17 (07-06)

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U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE respond to a collection of information unless it displays a valid OMB control number. Under the Paperwork Requestion Act of 1995, tip person ale required to Complete if Known 10/010,942-Conf. #5594 Effective on 12/08/2004 Application Number Fues pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818) December 6, 2001 Filing Date FEE TRANSMITTAL Gung BASI First Named Inventor K A. Ballard For FY 2006 Examiner Name 1649 Applicant claims small entity status See 37 CFR 1 27 Art Und **ELN-002** Attorney Docket No TOTAL AMOUNT OF PAYMENT 0.00 (\$) METHOD OF PAYMENT (check all that apply) Other (please identify). None Money Order Credit Card Chuck Lahive & Cockfield, LLP Дерози Ассоции Number 12-0080 Deposit Account Nume x Deposit Account For the above-identified deposit account, the Director is hereby authorized to: (check all that apply) Charge fee(s) indicated below, except for the filing fee x | Charge fee(s) indicated below Credit any overpayments Charge any additional fee(s) or underpayments of fee(s) under 37 CFR 1.16 and 1.17 FEE CALCULATION 1. BASIC FILING, SEARCH, AND EXAMINATION FEES EXAMINATION FEES SEARCH FEES FILING FEES Small Entity Small Emuty Fees Paid (\$) Small Entity Fee (\$) Fee (\$) Fee (\$) Fee (\$) Fee (\$) Fee (\$) Application Type 100 200 250 500 150 300 Utility 65 130 Sυ 100 100 200 80 Design 160 150 30u 100 200 300 Plant 600 **25**0 500 150 300 Reissue ٥ 100 Small Entity 200 Provisional Fee (\$) Fee (\$) 2. EXCESS CLAIM FEES 25 50 Fee Description Each claim over 20 (including Reissues) 200 100 Each independent claim over 3 (including Reissues) 180 360 Multiple dependent claims Multiple Dependent Claims Fee Paid (\$) Fee (\$) Fee Paig (\$) Extra Claims Total Claims Fee (\$) - 20 = MP = highest number of total claims paid for if greater than 20. Fee Paid (\$) Fee (\$) Extra Claims Indep. Claims x .3=_ MP - nightest number of independent claims paid for, it greater than 3 If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer 3 APPLICATION SIZE FEE listings under 37 CFR 1.52(e)), the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1 16(s) Fee Paid (\$) Number of each additional 50 or fraction mercof Fog (\$) Extra Specia (routio up to a whole number) x Total Sneets 150 - 100 = Faes Paid (\$) 4. OTHER FEE(S) Non-English Specification. \$130 fce (no small entity discount) Other (e.g., late filing surcharge). Petition for Reconsideration Under 37 CFR 1.705(b) 400 00 200 00 Petition for Reconsideration Under 37 CFR 1.705(c) (617) 227-7400 SUBMITTED BY Registration No Telephone 36,207 (Attorney/Agent) February 26, 2007 Signature Date Mandragouras, Esq. Amy E Name (Prot/Type) I hereby certify that this paper (along with any paper referred to as being-attached or enclosed) is being transmitted by facsimile to the Patent and Trademank Office, facsimile no (571) ::73-8300 at Commissioner to Petrops P.O. Box 1450, Alexandria, VA 22313-1450, on the date shown (Amy E Mandragouras, Esq.) Signal

Dated, February 26, 2007

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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BEGEIVED CENTRAL FAX CENTER

F-797

In re Patent Application of:

Guriq Basi et al.

FEB 2 6 2007 Confirmation No.: 5594

Application No : 10/010942

Art Unit: 1649

Filed: December 6, 2001

For: HUMANIZED ANTIBODIES THAT

RECOGNIZE BETA AMYLOID PEPTIDE

Examiner: Ballard, Kimberly A.

MS Petition ;
Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

REQUEST FOR RECONSIDERATION OF AN APPLICATION FOR PATENT TERM ADJUSTMENT PURSUANT TO 37 C.F.R. §1.705(b) AND/OR §1.705(c)

Dear Sir:

Pursuant to 37 C.F.R. §1.705(b) and/or §1.705(c), Applicants hereby petition for reconsideration of the Application for Patent Term Adjustment filed on August 10, 2006 (hereinafter, "the Application") for the above-referenced patent application. This petition is timely filed within two months of the date of Decision on Application for Patent Term Adjustment dated December 26, 2006 (hereinafter "the Decision"). A copy of the Decision and the Application are filed with this petition as Exhibits 1 and 2.

In the Decision the Petitions Examiner denied Applicants' request for correction of the period of reduction of 107 days for Applicant delay under 37 C.F.R. § 1.704(b) and entry of a new period of Applicant delay of 38 days in connection with Applicants' response to the Notice to File Missing Parts mailed March 1, 2002 (See Decision on Petition, page 1, paragraph 4 to page 2, paragraph 4). The Examiner's denial of the request was on the grounds that Applicants' response to the Notice to File Missing Parts filed by Certificate of Mailing on July 1, 2002 (and date stamped on July 8, 2002) allegedly contained an omission and that the period of 69 days

Serial No. 10/010,942

ELN-002

(beginning July 9, 2002 and ending September 16, 2002 with the filing of a paper correcting the omission) constituted a "failure to engage" pursuant to 37 C.F.R. § 1.704(c)(7).

As indicated by the Notice to Comply with Requirements for Patent Application Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures" mailed August 21, 2002, the alleged omission in this case is that Applicants' response of July 1, 2002 was missing a compliant sequence disk. The Notice indicates that the computer diskette was found to be "damaged and/or unreadable." (see Exhibit 3)

Applicants respectfully request reconsideration of the Application for Patent Term Adjustment on the grounds that Applicants' response did not in fact contain an "omission" on the part of the Applicants and, further, that the period of 69 days is not a "failure to engage" by Applicants. In particular, Applicants respectfully submit that Applicants filed a fully compliant response, including a fully compliant sequence disk on July 1, 2002. The fact that the disk was subsequently found to be damaged by the USPTO was not due to any lack of due care by Applicants, but instead due to the subsequent handling and treatment of the disk by others. Based on information provided by personnel at the USPTO following inspection of the USPTO file copy of the sequence disk filed on July 1, 2002, it is Applicants' understanding that the sequence disk is visibly damaged in a manner consistent with damage caused by irradiation treatment of the disk by the United States Postal Service. As such, Applicants' reply did not have an omission and the period of adjustment set forth in §1.703 should not have been reduced by 69 days (the number of days beginning on the day after the date of the reply having the alleged omission (i.e., July 9, 2002) and ending on the date a reply correcting the omission was filed (i.e., September 16, 2002)). Evidence in support of Applicants request for reconsideration is set forth below;

I. Applicants' reply did not contain an omission as the sequence diskette of July 1, 2002 was fully compliant.

In support of their request for reconsideration, Applicants submit herewith copies of the following documents as evidence that Applicants' reply of July 1, 2002 did not contain an

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Serial No. 10/010,942

omission and that the sequence disk was compliant and any damage was due to the subsequent handling and treatment by others:

- (1) A true copy of the return postcard dated July 1, 2002, originally filed with the above-referenced sequence disk describing the papers that constituted the filing package and indicating that a "Diskette containing the computer readable form of the Sequence Listing" was enclosed with a Certificate of First Class Mailing and indicating USPTO date-stamp of July 8, 2002 (see Exhibit 4; 1 page);
- (2) A true copy of Applicants' Attorney's file copy of the diskette label affixed to an envelope containing the sequence disk mailed July 1, 2002 and indicating that the sequence disk is dated July 1, 2002 (Exhibit 5);
- (3) A true paper copy of a sequence listing generated from Applicants' Attorney's file copy the sequence diskette mailed on July 1, 2002 (Exhibit 6);
- (4) A Verification Summary Report generated by the USPTO's "Checker" software program confirming that there are no sequence errors in Applicants' Attorney's file copy of the July 1, 2002 sequence listing (Exhibit 7);
- (5) An Affidavit executed by Ms. Micaela Hill affirming that Applicants' Attorney's file copy of the sequence diskette mailed July 1, 2002 is computer-readable and that the paper copy submitted as Exhibit 6 was generated from Applicants' Attorney's file copy of said sequence diskette (Exhibit 8);
- (6) A true paper copy of a sequence listing generated from Assignees' file copy of the sequence diskette mailed on July 1, 2002 (Exhibit 9);
- (7) An Affidavit executed by Ms. Patricia Robinson affirming that Assignees' file copy of the sequence diskette mailed July 1, 2002 is computer-readable and that the paper copy submitted as Exhibit 9 was generated from Assignees' file copy of said sequence diskette (Exhibit 10);
- (8) An Affidavit executed by Debra J. Milasincic, Esq. describing Applicants' Attorney's regular practice in connection with the preparation of sequence listings and sequence diskettes (Exhibit 11);

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A CONTRACT CONTRACT CONTRACTORS

(9) A true copy of the return postcard dated September 16, 2002, filed in response to the Notice to Comply and describing the papers that constituted the filing package and indicating that a "Diskette containing the computer readable form of the Sequence Listing" was enclosed with a Certificate of First Class Mailing and indicating USPTO date-stamp of September 20, 2002 (see Exhibit 12);

- (10) A true copy of Applicants' Attorney's copy of the sequence diskette and envelope filed September 16, 2002 and indicating that the sequence disk is dated September 16, 2002 (Exhibit 13);
- (11) A true paper copy of Applicants' sequence listing filed September 19, 2002 which was found to be compliant (Exhibit 14);
- (12) A Statement from Applicants' Attorney confirming that Applicants' Attorney's paper copy of sequence listing filed July 1, 2002 (Exhibit 6) is <u>identical</u> to Applicants' Attorney's paper of the sequence listing filed September 19, 2002 (Exhibit 15).

Therefore, the fact that the sequence disks mailed July 1, 2002 and September 19, 2002 are identical and that the September 19, 2002 diskette was found to be compliant, is evidence that Applicants' diskette mailed July 1, 2002 was also compliant and that Applicants' Attorney used due care. Accordingly, Applicants respectfully submit that Applicants' reply of July 1, 2002 did not contain an omission in that the sequence disk mailed July 1, 2002 was fully compliant, but subsequently damaged by the handling and treatment of others.

II. The sequence disk filed July 1, 2002 was damaged by the handling and treatment by the United Stated Postal Service.

Evidence in support of Applicants' assertion that the sequence disk of July 1, 2002 was subsequently damaged by treatment of the disk by others following deposit by Applicants can be found by inspection of the USPTO's file copy of the sequence disk filed July 1, 2002. At Applicants' request, Mr. Christopher Lowe, USPTO Quality Assurance Specialist for Technology Center 1600 conducted a visual inspection of the file. Following visual inspection of the sequence disk mailed July 1, 2002, Mr. Lowe indicated to Applicants' Attorneys that the

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disk was "warped" and had "a quarter inch bow in it." It is Applicants' Attorney's understanding that this type of damage is consistent with the irradiation of mail by the United States Postal Service in response to the threat of anthrax poisoning in the Washington D.C. area during the months following the September 11, 2001 terrorist attacks. Sequence disks and other mail submitted to the USPTO in late 2001- mid 2002 were often "damaged" as a result of anthrax irradiation procedures conducted in Lima, Ohio for all mail mailed to the Washington D.C. zip code (20231) of the USPTO (see OG Notice dated January 15, 2002 (Exhibit 16) and Letter dated January 16, 2002 from Commissioner Nicholas P. Godici (Exhibit 17)). Indeed, Applicants' sequence disk was mailed to the 20231 zip code.

As indicated in the OG Notice of January 15, 2002 (Exhibit 16), the USPTO has previously considered mail delays necessitated by the anthrax decontamination process and their effect on Patent Term Adjustment (see Pages 6-8 of Exhibit 16). Where a reply to an Office Action or Notice was mailed on or after October 13, 2001 and no later than December 1, 2001, and where an applicant subsequently received a reduction in Patent Term Adjustment pursuant to 37 C.F.R. §1.704(b) for a delayed receipt of the reply by the USPTO, the USPTO later recognized the mailing date of the reply as a "sufficient showing" that, in spite of all due care, the applicant was unable to reply to the Office Action or Notice within three months of the date of mailing. In these situations, the USPTO saw fit to reinstate applicant's Patent Term Adjustment for any period of delay that exceeded three business days.

Applicants submit that a set of circumstances has occurred in the instant case which are similar to those set forth in Exhibit 16. Here, the evidence indicates that Applicant filed a compliant response including a compliant sequence disk, but that the sequence disk was later damaged by the treatment of others. Given these circumstances, Applicants respectfully submit that they should not be penalized for the 69 day period during which the USPTO mailed a Notice to Comply and Applicants filed a second compliant sequence disk. Applicants submit that they engaged in reasonable efforts to conclude processing of the application by filing a compliant sequence disk on July 1, 2002 which was later rendered defective by circumstances beyond their control. In the alternative, Applicants request reconsideration of the Application for Patent Term Adjustment for either of the following: (i) reinstatement of the 69 day period of adjustment pursuant to 37 C.F.R. §1.705(c) on the grounds that the evidence submitted herewith provides a sufficient showing that, in spite of all due care, the Applicant was unable to respond

Serial No. 10/010,942

ELN-002

to the Notice to File Missing Parts on July 1, 2002 due to unforeseeable circumstances; or (ii) suspension or waiver of of 37 C.F.R. § 1.704(c)(7) with respect to the 69 day period in view of these circumstances in accordance with 37 C.F.R. §1.183. In any event, Applicants request correction of the period of reduction of 107 days and entry of a new delay period of 38 days as originally requested.

It is Applicants' Attorney's understanding that the filing of the instant Petition is also not a "failure to engage" by Applicants. This understanding is based on a discussion between Applicants' Agent and the Petitions Examiner in which the Examiner informed Applicants' Agent that the issue of whether or not the sequence disk filed July 1, 2002 was compliant is a valid petitionable issue and not a "frivolous" one. It is Applicant's Attorneys' further understanding that the instant petition is effectively part of the original Application for Patent Term Adjustment and is therefore subject to the "safe harbour" provisions of 37 C.F.R. § 1.704(e). Nevertheless, should the USPTO attribute any period of Applicant Delay due to the filing of the instant petition, it is Applicants' understanding that a Certificate of Correction will be issued by the Petitions Examiner to remove this period as Applicant Delay.

Please charge the appropriate fees set forth in 37 C.F.R. §1.705(b) and 37 C.F.R. §1.705(c) to Account No.: 12-0080. However, if any additional fees are determined to be due, the Commissioner is authorized to withdraw such fees from Account No.: 12-0080.

Dated: February 26, 2007

Amy E. Mandragouras

Respectfully submitted

Registration No.: 36,207

LAHIVE & COCKFIELD, LLP

28 State Street

Boston, Massachusetts 02109

(617) 227-7400

(617) 742-4214 (Fax)

Attorney/Agent For Applicant

UNITED STATES PATENT AND TRADEMARK OFFICE

EXHIBIT 1

EDMMISSIONER FOR PATENTS UNITED STATES PATENT AND TRADEMARK DIFFICE P.D. BOX 1480 ALEXANDRIA, VA 22313-1460

Paper No.

LAHIVE & COCKFIELD, LLP ONE POST OFFICE SQUARE BOSTON MA 02109-2127

COPY MAILED

DEC 2 6 2006

OFFICE OF PETITIONS

In re Application of :
Basi et al. : DECISION ON APPLICATION
Application No. 10/010,942 : FOR
Filed: December 6, 2001 : PATENT TERM ADJUSTMENT

Attorney Docket No. ELN-002 :

This is a decision on the "APPLICATION FOR PATENT TERM ADJUSTMENT INCLUDING REQUEST FOR RECONSIDERATION UNDER 37 CFR §1.705(b)," filed August 10, 2006. Applicants request that the determination of patent term adjustment be corrected from zero (0) days to at least five hundred eight (508) days.

The application for patent term adjustment is GRANTED to the extent indicated herein.

The Office has updated the PAIR screen to reflect that the correct Patent Term Adjustment (PTA) determination at the time of the mailing of the Notice of Allowance is ZERO (0) days, including an additional period of reduction of 12 days for applicant delay. A copy of the updated PAIR screen, showing the correct determination, is enclosed.

On May 11, 2006, the Office mailed the Determination of Patent Term Adjustment under 35 U.S.C. 154(b) in the above-identified application. The Notice stated that the patent term adjustment (PTA) to date is 0 days. The instant application for patent term adjustment was timely filed. Applicants dispute the reduction of 107 days associated with their filing of a response on September 16, 2002 to the Notice to File Missing Parts of

PALM records indicate that the Issue Fee was received on August 11, 2006.

Application No. 10/010,942

Page 2

Application mailed March 1, 2002. Applicants contend that their response was filed on July 9, 2002, and thus, the period of reduction pursuant to 1.704(b) is 38 days.

Applicants disclose that a period of reduction of 12 days should be entered for their filing of an Information Disclosure Statement on March 12, 2006. This period has been entered.

37 C.F.R. §1.704(c)(7) provides that a period of reduction is entered for:

Submission of a reply having an omission (§1.135(c)), in which case the period of adjustment set forth in § 1.703 shall be reduced by the number of days, if any, beginning on the day after the date the reply having an omission was filed and ending on the date that the reply or other paper correcting the omission was filed.

In this instance, a response was filed on July 9, 2002, three months and 38 days after the mailing of the Notice. Further, this response as indicated by the Notice to Comply mailed August 21, 2002, had an omission. On September 16, 2002, 69 days later, applicant filed the paper correcting the omission. Accordingly, pursuant to 37 CFR §§ 1.704(b) and 1.704(c)(7), a total period of 107 days was entered for applicant delay associated with these two failures to engage.

In view thereof, the correct determination of patent term adjustment at the time of the mailing of the notice of allowance is ZERO (0) days.

Receipt of the \$200.00 fee set forth in 37 CFR 1.18(e) is acknowledged. No additional fees are required.

The Office of Parent Publication has been advised of this decision. The application is thereby forwarded to the Office of Patent Publication for issuance of the patent. The patent term adjustment indicated on the patent (as shown on the Issue Notification mailed about three weeks prior to patent issuance) will include any additional adjustment accrued both for Office delay in issuing the patent more than four months after payment of the issue fee and satisfaction of all outstanding requirements, and for the Office taking in excess of three years to issue the patent (to the extent that the three-year period does not overlap with periods already accorded).

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Page 3

Telephone inquiries specific to this matter should be directed to the undersigned at (571) 272-3219.

Nancy Johnson

Senior Petitions Attorney

Office of Petitions

Enclosure: Copy of Revised PAIR Screen

Day: Thursday Dare: 12/21/2006

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53		CASE DOCKETED TO EXAMINER IN GAU			
52	11/29/2004	REFERENCE CAPTURE ON IDS	<u> </u>		
51	11/29/2004	INFORMATION DISCLOSURE STATEMENT (IDS) FILED			
50		REFERENCE CAPTURE ON IDS			
48	06/01/2005	DATE FORWARDED TO EXAMINER			
47	05/19/2005	RESPONSE AFTER NON-FINAL ACTION		30	44
46	05/19/2005	REQUEST FOR EXTENSION OF TIME - GRANTED			
45	05/25/2005	CASE DOCKETED TO EXAMINER IN GAU			
44	01/19/2005	MAIL NON-FINAL REJECTION			
43	01/19/2005	NON-FINAL REJECTION			
42	12/16/2004	INFORMATION DISCLOSURE STATEMENT (IDS) FILED		20	38

41		DATE FORWARDED TO EXAMINER			
40		SUPPLEMENTAL RESPONSE			
39		DATE FORWARDED TO EXAMINER			7.7
38		RESPONSE AFTER NON-FINAL ACTION		92	35
37	11/26/2004	REQUEST FOR EXTENSION OF TIME - GRANTED			
36	11/26/2004	WORKFLOW INCOMING AMENDMENT IFW			
35	05/26/2004	MAIL NON-FINAL REJECTION			
34	05/25/2004	NON-FINAL REJECTION			
33	03/18/2004	DATE FORWARDED TO EXAMINER			
32	03/12/2004	RESPONSE TO ELECTION / RESTRICTION FILED		79	26
29	03/12/2004	REQUEST FOR EXTENSION OF TIME - GRANTED			
28	12/19/2003	CORRESPONDENCE ADDRESS CHANGE			<u> </u>
27	09/20/2003	PRELIMINARY AMENDMENT			
26		MAIL RESTRICTION REQUIREMENT	230		-1
25	09/24/2003	REQUIREMENT FOR RESTRICTION / ELECTION			
24	09/17/2003	CASE DOCKETED TO EXAMINER IN GAU			
23	10/03/2002	INFORMATION DISCLOSURE STATEMENT (IDS) FILED			
22	07/09/2002	PRELIMINARY AMENDMENT			
21	05/27/2003	CASE DOCKETED TO EXAMINER IN GAU][<u> </u>
20	04/21/2003	CASE DOCKETED TO EXAMINER IN GAU			
19	10/11/2002	APPLICATION DISPATCHED FROM OIPE	<u> </u>		
18	10/10/2002	APPLICATION IS NOW COMPLETE			
17	09/16/2002	ADDITIONAL APPLICATION FILING FEES		107	8
16	09/16/2002	CRF DISK HAS BEEN RECEIVED BY PREEXAM / GROUP / PCT			
15	10/07/2002	CRF IS GOOD TECHNICALLY / ENTERED INTO DATABASE			
14	08/25/2002	RECEIPT OF ALL ACKNOWLEDGEMENT LETTERS			
13	08/21/2002	SEQUENCE ERRORS			<u> </u>
12	07/01/2002	NFFF/PKFFAAM			
11	07/01/2002	CRF DISK HAS BEEN RECEIVED BY PREEXAM / GROUP / PCT			
10	07/01/2002	A STATEMENT BY ONE OR MORE INVENTORS SATISFYING THE REQUIREMENT UNDER 35 USC 115, OATH OF THE APPLIC			

9	07/30/2002	CRF DOES NOT MATCH APPLICATION SPECIFICATION APPLICANT MUST CORRECT		
8	03/01/2002	NOTICE MAILED-APPLICATION INCOMPLETE FILING DATE ASSIGNED		
6	01/15/2002	REFERRED BY L&R FOR THIRD-LEVEL SECURITY REVIEW. AGENCY REFERRAL LETTER GENERATED		
5	01/10/2002	IFW SCAN & PACR AUTO SECURITY REVIEW		
4	01/04/2002	CRF IS FLAWED TECHNICALLY / NOT ENTERED INTO DATABASE		
3	12/19/2001	IFW SCAN & PACR AUTO SECURITY REVIEW		
2	12/06/2001	CRF DISK HAS BEEN RECEIVED BY PREEXAM / GROUP / PCT		
	12/06/2001	INITIAL EXAM TEAM NN		

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EXPLANATION OF PTA CALCULATION

EXPLANATION OF PTE CALCULATION

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EXHIBIT 2

EXPRESS MAIL LABEL NO.: EV 465008962US August 10, 2006

Docket No.: ELN-002

(PATENT)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:

Gurig Basi et al.

Application No.: 10/010942

Confirmation No.: 5594

Filed: December 6, 2001

Art Unit: 1649

For HUMANIZED ANTIBODIES THAT

RECOGNIZE BETA AMYLOID PEPTIDE

Examiner: Ballard, Kimberly A.

MS Petition Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

STATEMENT UNDER 37 CFR § 1,702(b)(2)

Dear Sir.

- 1. This statement is respectfully submitted in support of the "Application for Patent Term Adjustment Including Request for Reconsideration Under 37 CFR §1.705(b)" for the above-referenced application. In view of the following, it is respectfully requested that Applicants be granted a minimum patent term adjustment of 508 days, with an additional term to be added based on the number of days following payment of the issue fee on August 11, 2006 to the date of issuance of a patent for the above-referenced application.
- 2. The patent term adjustment on the Determination of Patent Term Adjustment Under 35 U.S.C. §154(b) ("PTAS Sheet") that was attached to the Notice of Allowance is 0 days (a copy of the PTAS Sheet is submitted herewith as Exhibit A). This determination of 0 days is in error in that pursuant to 35 U.S.C. §154(b) the Office failed to take certain action within the time frame specified in 37 CFR §1.702(a) and failed to issue a patent within three years of the actual filing date of the above-referenced application in accordance with 37 CFR §1.702(b).

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02-26-07 09:25pm

Group Art Unit: 1649

Pursuant to 37 CFR §1.703(a), Applicants are entitled to a period of patent term adjustment due to the failure by the Office to mail an action under 35 U.S.C. §132 not later than 14 months after the actual filing date (i.e., by February 6, 2003) (hereinafter "14 Month Delay"). As the Office failed to mail an action under 35 U.S.C. §132 until September 24, 2003, Applicants are entitled to a period of patent term adjustment beginning on the day after the date that is 14 months after the date on which the above-referenced application was filed under 35 U.S.C. §111(a), i.e., February 7, 2003, and ending on the date of mailing of an action under 35 U.S.C. §132, i.e., September 24, 2003. Accordingly, the period of patent term adjustment due to the 14 Month Delay by the Office is 230 days, which is in agreement with the period calculated by the Office on the PTAS Sheet (Exhibit A, line 25).

In addition to the patent term adjustment due to the 14 Month Delay, pursuant to 37 CFR §1.703(b) Applicants are entitled to a period of patent term adjustment due to examination delay from the number of days in the period beginning on the day after the date that is three years after the date on which the above-referenced application was filed under 35 U.S.C. §111(a), i.e., December 7, 2004, and ending on the date a patent is issued, (hereinafter "Three Years Delay"). As the issue date has yet to be determined, Applicants have calculated a minimum period of Three Years Delay of 613 days, based on a hypothetical issue date of August 11, 2006, the projected date of payment of the issue fee.

As set forth in 37 CFR §1.703(f), Applicants are entitled to a period of patent term adjustment equal to the period of examination delays based on the grounds set forth in 37 CFR §1.702 reduced by the period of time equal to the period of time during which Applicants failed to engage in reasonable efforts to conclude prosecution pursuant to 37 CFR §1.704 (hereinafter "Applicant Delay"). With respect to the above-referenced application, the total period of examination delays is the sum of the period of 14 Month Delay (230 days) and the minimum period of Three Years Delay (613 days), or 843 days, to the extent these periods of delay are not overlapping. As the period of 14 Month Delay ended on November 24, 2003, prior to the first day of the period of Three Years Delay, i.e., December 7, 2004, Applicants submit that these periods are not overlapping. To calculate the period of patent term adjustment, the total period

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of examination delay is reduced by the period of Applicant Delay, which Applicants have calculated herein as a period of 335 days (not 392 days as set forth in the PTAS Sheet (Exhibit A)).

Accordingly, Applicants submit that the correct patent term adjustment for the above-referenced application is at least 508 days, which is the difference between the total period of examination delay (843 days) and the period of Applicant Delay (335 days). Applicants further submit that the term of 508 days should be extended by an additional term equal to the number of days following payment of the issue fee on August 11, 2006 to the date of issuance of a patent for the above-referenced application in accordance with 37 CFR §1.703(b). As such, the correct patent term adjustment upon issuance of a patent is expected to be the sum of 508 days (as calculated herein) and the number of days from August 12, 2006 to issuance of a patent.

The factual bases for the above adjustment are set forth as follows:

A Examination Delays Pursuant to 37 CFR §1.702 and §1.703

Pursuant to 37 CFR §1.703(f), the period of adjustment of the term of the patent under §1.702 is the sum of the periods of examination delay calculated under subparagraphs (a)-(e), to the extent that such periods are not overlapping, less the sum of the periods calculated under §1.704 (the period of Applicant Delay). In the above-referenced application, Applicants are entitled to a period of examination delay equal to the sum of the periods of delay under §1.703(a) and (b) for the reasons set forth below.

(i) "14 Month Delay" Pursuant to §1.703(a)(1)

In accordance 37 CFR §1.703(a)(1), Applicants are entitled to a period of patent term adjustment due to the failure by the Office to mail an action under 35 U.S.C. §132 not later than 14 months after the actual fiting date (i.e., by February 6, 2003). As shown in the PTAS Sheet (Exhibit A, line 25), the Office failed to mail an action under 35 U.S.C. §132 (a Restriction

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Requirement) until September 24, 2003. As such, Applicants are entitled to a period of patent term adjustment beginning February 7, 2003 and ending on September 24, 2003, the date of mailing of the Restriction Requirement by the Office. Accordingly, the period of patent term adjustment due to the 14 Month Delay by the Office is 230 days, as shown on line 25 of the PTAS Sheet (Exhibit A, line 25).

(ii) "Three Years Delay" Pursuant to 37 CFR §1.703(b)

It is anticipated that the Office will not comply with the requirement of 35 U.S.C. §154(b) and 37 CFR §1.702(b), which requires issuance of a patent within 3 years after the date on which the application was filed under 35 U.S.C. §111(a). As indicated in the Notice of Allowance, a patent is projected to issue on November 28, 2006, but may issue earlier or later depending on the circumstances of publication. However, even assuming arguendo that a patent is issued on the same day as the projected date of payment of the issue fee (i.e., August 11, 2006), said issue date would be 3 years and 613 days after the date on which the above-referenced application was filed under 35 U.S.C. §111(a). As none of the exclusionary periods set forth in 37 CFR §1.702(b) apply to the instant application and in accordance with 37 CFR §1.703, a minimum period of examination delay is calculated to be at least 613 days, based on the hypothetical issue date of August 11, 2006. This minimum period of examination delay is to be extended by an additional term equal to the number of days following payment of the issue fee on August 11, 2006 to the date of issuance of a patent. Accordingly, the entire period of Three Years Delay is the sum of the minimum period of examination delay of 613 days and the number of days from August 12, 2006 to the day of issuance of the patent.

(iii) Total Examination Delay Pursuant to 37 CFR §1.703(f)

As set forth in 37 CFR §1.703(f), the period of examination delay based on the grounds set forth in 37 CFR §1.702 is the sum of the period of 14 Month Delay (230 days) and the minimum period of Three Years Delay (613 days), or 843 days, to the extent these periods of delay are not overlapping. As the period of 14 Month Delay ended on November 24, 2003, prior to the first day of the period of Three Years Delay, i.e., December 7, 2004, Applicants submit that these periods are not overlapping.

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B. "Applicant Delay" Pursuant to 37 CFR §1.704

Pursuant to 37 CFR §1.704 the period of adjustment of the term of the patent due to examination delay is reduced by the period of Applicant Delay. As indicated on the PTAS Sheet (Exhibit A), the Office has calculated a period of Applicant Delay of 392 days. Applicants respectfully submit that the correct period of Applicant Delay is 335 days and seek correction based on the following remarks. A PTAS Sheet showing corrections by Applicants is submitted herewith as Exhibit C. A copy of the "Image File Wrapper Record" and "Transaction History" from Applicants' Private PAIR are submitted herewith as Exhibits B and F.

(i) Applicant Delay for Responding to a Notice to File Missing Parts of March 1, 2002

Applicants request correction of the initial period of Applicant Delay of 107 days (line 16 of Exhibit A) from the date of mailing of a Notice to File Missing Parts of the Application on March 1, 2002 (line 7 of Exhibit A) to September 16, 2002 (line 16 of Exhibit A), the date on which Applicants are alleged to have responded. Applicants submit that the correct period of Applicant Delay is 38 days, which is the number of days in excess of 3 months from the date of the Notice to File Missing Parts (i.e., June 1, 2002) to the date on which a complete response was filed by the Applicants (i.e., July 9, 2002). As evidenced by the enclosed copy of a postcard receipt (submitted herewith as Exhibit D), Applicants filed a complete response to the Notice to File Missing Parts, including a computer-readable sequence disk, via first class mail on July 1, 2002. The date-in stamp on the postcard receipt indicates that these documents and sequence disk were received by the Office on July 9, 2002. Copies of the Notice to File Missing Parts from March 1, 2002 as well as Applicants' response thereto from the Image File Wrapper Record are submitted herewith as Exhibit E. Additional evidence of receipt of Applicants' complete response on July 9, 2002 is shown on the Image File Wrapper Record (Exhibit B) from this date indicating "Applicant Response to Pre-Exam Formalities Notice", "Oath or Declaration Filed" and "CFR Sequence Listing Filed," among other entries. According to 37 CFR §1.704 (b), the period of Applicant Delay begins on the day that is 3 months after the date of the Notice to Comply (i.e., June 2, 2002) and ends on the date the reply was filed by Applicants (i.e., July 9, 2002) for a total of 38 days. For the reasons set forth in subsection B (ii) below, Applicants

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submit that no other Applicant Delays accrued during the period from March 1, 2002 to September 16, 2002. As such, Applicants request correction of the initial period of Applicant Delay of 107 days (line 16 of Exhibit A) to 38 days (line 12 of Exhibit C).

(ii) Applicant Delay for Responding to a Notice to Comply with Sequence Listing of August 21, 2002

Applicants respectfully submit that the Office has improperly calculated the period beginning August 22, 2002 (the day following the mail date of a "Preexam Formalities Notice" by the Office on August 21, 2002 (line 12 of Exhibit A)) and ending September 16, 2002 (the date of a response to the Preexam Formalities Notice by Applicants (line 16 of Exhibit A) as an Applicant Delay. This alleged period of delay corresponds to the period for response by Applicants to a "Preexam Formalities Notice," a "Notice to Comply with Requirement for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures" ("Notice to Comply with Sequence Listing") mailed August 21, 2002 (a copy of this Notice and Applicants response is submitted herewith as Exhibit G). As shown in Exhibit G, Applicants filed a response to the Notice to Comply with Sequence Listing via first class mail on September 16, 2002. The date-in stamp by the Office indicates that the response was received on September 20, 2002. Further evidence of receipt of Applicants' complete response on September 20, 2002 is shown on the Image File Wrapper Record (Exhibit B) from this date indicating "Response to Pre-Exam Sequence Notice" and "Sequence Listing," among other entries. Pursuant to 37 CFR §1.704(b), the period of Applicant Delay begins on the day that is 3 months after the date of the Notice to Comply with Sequence Listing (i.e., November 22, 2002) and ends on the date the reply was filed by Applicants. As Applicants filed a complete response to the Notice to Comply with Sequence Listing on September 20, 2002, within the three month grace period provided by 37 CFR §1.704(b), no Applicant Delay accrued.

Finally, it is respectfully submitted that the period of time from July 9, 2002 (the date of response by Applicants to the Notice to File Missing Parts) to August 21, 2002 (the date of mailing of the Notice to Comply with Sequence Listing by the Office) has been improperly calculated by the Office as a period of Applicant Delay. The alleged period of delay, a total of

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43 days, corresponds to the time taken by the Office of Initial Patent Examination (OIPE) to process the response filed by Applicants on July 9, 2002. Applicants submit that the 43 day period is an examination delay by the Office and is not a delay by the Applicants pursuant to 37 CFR §1.704.

In view of the preceding remarks, Applicants submit that no Applicant Delays accrued during the period from July 9, 2002 to September 20, 2002. Accordingly, Applicants request correction of the initial period of Applicant Delay of 107 days (line 16 of Exhibit A) to 38 days (line 12 of Exhibit C), which is equivalent to the period of Applicant Delay beginning on the day that is 3 months after the date of the Notice to Comply (i.e., June 2, 2002) and ending on the date the reply was filed by Applicants (i.e., July 9, 2002).

(iii) Applicant Delay for Filing an Information Disclosure Statement

Applicants respectfully submit that an additional period of Applicant Delay of 12 days accrued for the delayed submission of an Information Disclosure Statement (IDS) on March 15, 2006 (see line 66, Exhibit C). This period is not shown on Exhibit A, the PTAS Sheet from the Office. As shown on Exhibit C, an IDS was filed without a statement under 37 CFR §1.704(d), 12 days after the filing of a response by Applicants to an office action on March 3, 2006. Pursuant to 37 CFR §1.704(c), this 12 day period should be considered an Applicant Delay and should be added to the period of delay by Applicants.

(iv) Other Entries Which Do Not Add to the Period of Applicant Delay

Applicants submit that there are several inconsistencies between entries shown on the PTAS Sheet (Exhibit A) and those shown on the Image File Wrapper Record (Exhibit B). In particular, Applicants direct the attention of the Office to Applicants' Petition to Correct Inventorship under 37 CPR §1.48(a) and accompanying Oath and Declaration filed on April 3, 2006. The Oath and Declaration is shown on Exhibit B, but does not appear on the PTAS Sheet (Exhibit A). According to MPEP 2732, oaths and declarations are examples of "other paper" that may generate reductions pursuant to 37CFR §1.704(c) (10) if such papers are filed after a Notice of Allowance is mailed or given. However, as Applicants filed the Oath and Declaration

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USSN 10/010,942

on April 3, 2006, well <u>before</u> the Notice of Allowance mail date of May 11, 2006, and this submission is not believed to otherwise delay the processing or examination of the application (as evidenced by the issuance of a Notice of Allowance 38 days following receipt of the Oath and Declaration), it is not believed to be an Applicant Delay as defined by 37 CFR §1.704.

In addition to these inconsistencies, Applicants also wish to point out that the entries of May 10, 2006 and May 11, 2006 on the PTAS sheet entitled "Formal Drawings Required" and "Mail Formal Drawings Required," respectively, are erroneous. These entries do not appear in the Image File Wrapper Record (Exhibit B) and Applicants did not receive a paper copy of a request for formal drawing from the Office. Applicants contacted Examiner Ballard on August 1, 2006, in which she confirmed that she did not issue a notice for formal drawings and that the entry on the PTAS Sheet was erroneous. Applicants were informed by the Examiner that the Office would seek appropriate correction of these erroneous entries related to formal drawings. As shown in the Transaction History from Applicants Private PAIR (Exhibit F), the Office entered "Correction-Drawing NOT required" on August 8, 2006, thereby acknowledging the erroneous entry in the PTAS Sheet. The preceding inconsistencies in the PTAS Sheet are noted in Exhibit C and appropriate correction by the Office is respectfully requested.

(v) Calculation of the Total Period of Applicant Delay

In view of the above, Applicants have calculated a total period of Applicant Delay of 335 days which is the sum of the following Applicant Delays shown in Exhibit C: (i) the 38 day period from June 2, 2002 to July 9, 2002 (lines 9-11); (ii) the 79 day period (line 29); (iii) the 92 day period (line 35); (iii) the 20 day period (line 39); (iv) the 30 day period (line 44); (v) the 5 day period (line 51); (vi) the 59 day period (line 63); and (vii) the 12 day period from March 3, 2006 to March 15, 2006 (lines 63-66). Applicants respectfully submit that the correct period of Applicant Delay is 335 days, not 392 days, and request appropriate correction by the Office.

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Group Art Unit: 1649

C. Calculation of Correct Patent Term Adjustment Pursuant to 37 CFR § 1.702(f)

As set forth in 37 CFR §1.703(f), Applicants are entitled to a period of patent term adjustment equal to the period of examination delays reduced by the period of Applicant Delay. Therefore, Applicants submit that the correct patent term adjustment for the above-referenced application is at least 508 days, which is the difference between the total period of examination delay (843 days) and the period of Applicant Delay (335 days). Applicants further submit that the term of 508 days should be extended by an additional term equal to the number of days following payment of the issue fee on August 11, 2006 to the date of issuance of a patent for the above-referenced application in accordance with 37 CFR §1.703(b). As such, the correct patent term adjustment upon issuance of a patent is expected to be the sum of 508 days (as calculated berein) and the number of days from August 12, 2006 to Issuance of a patent.

4. In accordance with 37 CFR§1.705(b)(2)(iii), Applicants submit that the pending patent corresponding to this application will not be subject to a terminal disclaimer.

In view of the foregoing, it is respectfully requested that this Application for Patent Term Adjustment be favorably considered and that a corrected Determination of Patent Term Adjustment be issued to reflect a minimum patent term adjustment of 508 days, with an additional term to be added based on the number of days following payment of the issue fee on August 11, 2006 to the date of issuance of a patent for the above-referenced application.

Dated: August 10, 2006

Amy E. Mandragouras, Esq Registration No.: 36,207 LAHIVE & COCKFIELD, LLP 28 State Street Boston, Massachusetts 02109 (617) 227-7400

(617) 742-4214 (Fax) Attorney For Applicant

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. 464 4 44 4 EXHIBIT 3



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS UMTED STATES PATENT AND TRADEHARK OFFICE WASHINE FOW, D.C. 20231

WASHINGTON ON

APPLICATION NUMBER

FILING/RECEIPT DATE

FIRST NAMED APPLICANT

ATTORNEY DOCKET NUMBER

10/010.942

12/06/2001

Guriq Basi

ELN-002

CONFIRMATION NO. 5594

000959 LAHIVE & COCKFIELD 28 STATE STREET BOSTON, MA 02109

FORMALITIES LETTER OC0000000008658514

Date Mailed: 08/21/2002

NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES

Applicant is given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file the items indicated below to avoid abandonment. Extensions of time may be obtained under the provisions of 37 CFR 1 136(a).

. The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A substitute computer readable form must be submitted as required by 37 C.F.R. 1.825(d). Applicant must provide a substitute computer readable form (CRF) copy of the "Sequence Listing" and a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

For questions regarding compliance to these requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase Patentin Software, call (703) 306-2600
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A copy of this notice MUST be returned with the reply.

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PART 3 - OFFICE COPY



CRF Problem Report

The Scientific and Technical Information Center (STIC) experienced a problem when processing the following computer readable form (CRF):

Application Serial Number: 10/0/0,94,6 Filing Date: Date Processed by STIC:

STIC Contact: Mark Spencer, 703-308-4212

Nature of Problem:

Nature of Fromenic
(circle one) Damaged or Unreadable (for Unreadable, sce attached) Blank (no files on CRF) (see attached) Empty file (filename present, but no bytes in file) (see attached) Virus-infected. Virus name: Not saved in ASCII text Sequence Listing was embedded in the file. According to Sequence Rules, submitted file should only be the Sequence Listing. Did not contain a Sequence Listing. (see attached sample) Other:

PLEASE USE THE CHECKER VERSION 3.1 PROGRAM TO REDUCE ERRORS. SEE BELOW FOR ADDRESS:

http:/www.uspto.gov/web/offices/pac/checker

Applicants submitting genetic sequence information electronically on diskette or CD-Rom should be aware that there is a possibility that the disk/CD-Rom may have been affected by treatment given to all incoming mail. Please consider using alternate methods of submission for the disk/CD-Rom or replacement disk/CD-Rom Any reply including a sequence listing in electronic form should NOT be sent to the 20231 zip code address for the United States Patent and Trademark Office, and instead should be sent via the following to the indicated addresses:

- 1. EFS-Bio (http://www.uspto.gov/ebc/efs/downloads/documents.htm, EFS Submission
- 2. U.S. Postal Service: U.S. Patent and Trademark Office, Box Sequence, P.O. Box 2327, Arlington, VA 22202
- U.S. Patent and Trademark Office, Technology Center 1600, Reception Area, 7th Floor, Examiner Name, 3 Hand Carry directly to: Sequence Information, Crystal Mali One, 1911 South Clark Street, Arlington, VA 22202
 - U.S. Patent and Trademark Office, Box Sequence, Customer Window, Lobby, Room 1803, Crystal Plaza Two,
- 2011 South Clark Place, Arlington, VA 22202 4. Federal Express, United Parcel Service, or other delivery service to: U.S. Patent and Trademark Office, Box Sequence, Room 1B03-Mailroom, Crystal Plaza Two, 2011 South Clark Place, Arlington, VA 22202

Revised 01/29/2002



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 2023

ATTACHMENT TO "NOTICE TO COMPLY WITH REQUIREMENTS...SEQUENCE DISCLOSURES"

Any reply including a sequence listing in electronic form should NOT be sent to the 20231 zip code address for the United States Patent and Trademark Office, and instead should be submitted using one of the following methods:

- 1. Electronically submitted through EFS-Bio (http://www.uspto.gov/ebc/efs/downloads/documents.htm, EFS Submission User Manual ePAVE)
- 2. Mailed to:

U.S. Patent and Trademark Office Box Sequence, P.O. Box 2327 Arlington, VA 22202

- Mailed by Federal Express, United Parcel Service or other delivery service to:

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 2011 South Clark Place
 Customer Window, Box Sequence
 Crystal Plaza Two, Lobby, Room 1B03
 Arlington, Virginia 22202
- 4. Hand Carried directly to the Customer Window at:
 2011 South Clark Place
 Crystal Plaza Two, Lobby, Room 1B03, Box Sequence,
 Arlington, Virginia 22202

Rev. 12/27/2001

EXHIBIT 4

Title: Humanized Antibodies That Recognite Beta Amyloid Peptide

Attorneys: AEMIDIMICEH with Certificate of First Class Mailing*

Intl. or Serial No.: 10/010,942

Date: July 1, 2002

Name of Applicant(s): Guriq Basi, Jose Saldanha, and Ted Yednock

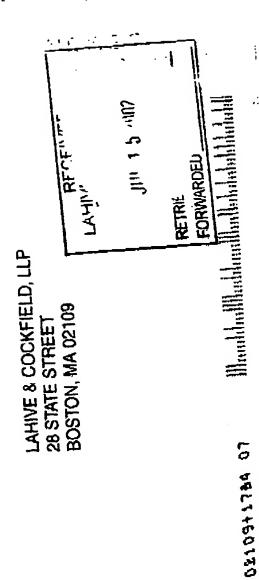
duplicate); executed Declaration, Petition and Power of Attorney document (5 pages); Copy of Notice to Extension of Time (1 page, in duplicate); Response to Notice to File Missing Parts (2 pages, in Description of Paper, and No.: Transmittal Letter (1 page, in duplicate); Request for Two-Month File Missing Parts (5 pages); Preliminary Amendment (22 pages with Appendix A). Transmittal Letter Diskette containing computer readable form of the Sequence Listing; and acknowledgment postcard. for Diskette containing Substitute Sequence Listing (1 page); 21 pages of Substitute Sequence Listing; THE "RECEIVED" STAMP OF THE PATENT AND TRADEMARK OFFICE IMPRINTED HEREON ACKNOWLEDGES THE FILING OF:

Office No.

ELN-902

2007.0. BMCTER U.S. POSTAGE

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1 23--- 25--

EXHIBIT 5

LAHIVE & COCKFIELD, LLP 28 State Street Boston MA 02109

SEQUENCE LISTING UNDER 37 CFR 1.825 (CORRECTED SEQUENCE)

Applicants: Busi, Guriq et al Serial No. 10/010 942 Filed: 2001-12-06

For: HUMANIXED ANTIBODIES THAT RECOGNIZE BETA-AMYLOID PEPTIDE

Copy Lahive & Cockfield, LLP

Docket No ELN-002 Date July 1, 2002

3.5" Diskene 1.44 MB IBM-PC MN-Windows

ELN-002

EXHIBIT 6

SEQUENCE LISTING

<110> Basi, Guriq Saldanha, Jose Yednock, Ted <120> HUMANIZED ANTIBODIES THAT RECOGNIZE BETA-AMYLOID PEPTIDE <130> ELN-002 <140> US 10/010,942 <141> 2001-12-06 <150> US 60/251,892 <151> 2000-12-06 <160> 63 <170> FastSEQ for Windows Version 4.0 <210> 1 ~211, 396 <212> DNA <213> Mus musculus <221> CDS <222> (1) ... (396) < <221> sig_peptide <222> (1) ... (60) and and age out goo can the erg the etg tha gog one tag are egg Mer Met Ser Pro Ala Gln Phe Leu Phe Leu Leu Val Leu Trp Ile Arg -15 gaa acc aac ggt tat gtt gtg atg acc cag act cca ctc act ttg tcg Glu Thr Asn Gly Tyr Val Val Met Thr Gln Thr Pro Leu Thr Leu Ser 96 gtt acc att gga caa cca gcc tcc atc tct tgc aag tca agt cag agc 144 Val Thr Ile Gly Gln Pro Ata Ser Ile Ser Cys Lys Ser Ser Gln Ser ctc tta gat agt gat gga aug aca tat ttg aat tgg ttg tta cag agg 192 Leu Leu Asp Ser Asp Gly Lys Thr Tyr Leu Asn Trp Leu Leu Gln Arg 35 eca gge cag tor cea aag oge eta ate tat etg gtg tot aaa etg gae 240 Pro Gly Gln Ser Pro Lys Arg Leu Ile Tyr Leu Val Ser Lys Leu Asp tet gga gte eet gae agg tte aet gge agt gga tea ggg aea gat ttt Ser Gly Val Pro Asp Arg Phe Thr Gly Ser Gly Ser Gly Thr Asp Phe 288 aca org ass are age aga are gag ger gag gar rrg ggs orr rar rar 336 Thr Leu Lys Ile Ser Arg Ile Glu Ala Glu Asp Leu Gly Leu Tyr Tyr 85

384

tgc tgg caa ggt aca cat ttt cct cgg acg ttc ggt gga ggc acc aag

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Leu Glu Ile Lys
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Val Thr lle Gly Gln Pro Ala Ser Ile Ser Cys Lys Ser Ser Gln Ser
       15
                           20
Leu Leu Asp Ser Asp Gly Lys Thr Tyr Leu Asn Trp Leu Leu Gln Arg
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                      35
                                          40
Pro Gly Gln Ser Pro Lys Arg Leu Ile Tyr Leu Val Ser Lys Leu Asp
                 50
                                      55
Ser Gly Val Pro Asp Arg Phe Thr Gly Ser Gly Ser Gly Thr Asp Phe
               65
                                   70
                                                        75
Thr Leu Lys Ile Ser Arg Ile Glu Ala Glu Asp Leu Gly Leu Tyr Tyr
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                     85
Cys Trp Gla Gly Thr His Phe Pro Arg Thr Phe Gly Gly Gly Thr Lys
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                            100
                                                105
Leu Glu Ile Lys
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grc cag rgr gaa grg aag crg grg gag rcr ggg gga ggc rta grg aag Val Gln Cys Glu Val Lys Leu Val Glu Ser Gly Gly Gly Leu Val Lys
                                                                  96
cet gga geg ter erg aga ere tee tgr gea gee ter gga tre aer tre
Pro Gly Ala Ser Leu Lys Leu Ser Cys Ala Ala Ser Gly Phe Thr Phe
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Ser Asn Tyr Gly Met Ser Trp Val Arg Gln Asn Ser Asp Lys Arg Leu
gag teg get gea tee att agg agt ggt ggt aga ace tae tea tea
                                                                240
Glu Trp Val Ala Ser Ile Arg Ser Gly Gly Gly Arg Thr Tyr Ser
gac aat gra aag ggc cga ttc acc atc tcc aga gag aat gcc aag aac
                                                                288
Asp Asn Val Lys Gly Arg Phe Thr Ile Ser Arg Glu Asn Ala Lys Asn
acc ctg tac ctg caa atg agt agt ctg aag tet gag gac acg gcc ttg
Thr Leu Tyr Leu Gln Met Ser Ser Leu Lys Ser Glu Asp Thr Ala Leu
                           85
tat tat tgt gtc aga tat gar cac tat agt ggt agc tcc gac tac tgg
                                                                384
Tyr Tyr Cys Val Arg Tyr Asp His Tyr Ser Gly Ser Ser Asp Tyr Trp
                                           105
ggo cag ggo acc act gto aca gto too toa
                                                                414
Gly Gln Gly Thr Thr Val Thr Val Ser Ser
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                                              10
Pro Gly Ala Ser Leu Lys Leu Ser Cys Ala Ala Ser Gly Phe Thr Phe
  15
                      20
Ser Asn Tyr Gly Mec Ser Trp Val Arg Gln Asn Ser Asp Lys Arg Leu
                 35
                                      40
Glu Trp Val Ala Ser Ile Arg Ser Gly Gly Gly Arg Thr Tyr Ser
              50
                                 55
Asp Asn Val Lys Gly Arg Phe Thr Ile Ser Arg Glu Asn Ala Lys Asn
          65
                            70
                                                75
Thr Leu Tyr Leu Gln Met Ser Ser Leu Lys Ser Glu Asp Thr Ala Leu
                                             90
Tyr Tyr Cys Val Arg Tyr Asp His Tyr Ser Gly Ser Ser Asp Tyr Trp
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Gly Gln Gly Thr Thr Val Thr Val Ser Ser
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Glu Thr Asn Gly Tyr Val Val Met Thr Gln Ser Pro Leu Ser Leu Pro
                               5
                                              10
Val Thr Pro Gly Glu Pro Ala Ser Ile Ser Cys Lys Ser Ser Gln Ser
     15
                        20
                                            25
Leu Leu Asp Ser Asp Gly Lys Thr Tyr Leu Asn Trp Leu Leu Gln Lys
                      35
                                       40
Pro Gly Gln Ser Pro Gln Arg Leu Ile Tyr Leu Val Ser Lys Leu Asp
                  50
                                     55
Ser Gly Val Pro Asp Arg Pne Ser Gly Ser Gly Ser Gly Thr Asp Phe
              65
                                 70
Thr Leu Lys Ile Ser Arg Val Glu Ala Glu Asp Val Gly Val Tyr Tyr
                            85
Cys Trp Gln Gly Thr His Phe Pro Arg Thr Phe Gly Gln Gly Thr Lys
                100
Val Glu Ile Lya
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<211> 125
<212> PRT
<213> Homo sapiens
<220>
<221> SIGNAL
<222> (1)...(13)
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           -10
                              -5
Met Thr Gln Ser Pro Leu Ser Leu Pro Val Thr Pro Gly Glu Pro Ala
                      10
Ser Ile Ser Cys Arg Ser Ser Gln Ser Leu Leu His Ser Asn Gly Tyr
                25
                                    30
Asn Tyr Leu Asp Trp Tyr Lau Gln Lys Pro Gly Gln Ser Pro Gln Leu
              40
                                 45
Leu Ile Tyr Leu Gly Ser Asn Arg Ala Ser Gly Val Pro Asp Arg Phe
Ser Gly Ser Gly Ser Gly Thr Asp Phe Thr Leu Lys Ile Ser Arg Val
       70
                        75
Glu Ala Glu Asp Val Gly Val Tyr Tyr Cys Met Gln Ala Leu Gln Thr
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                                        95
Pro Arg Thr Phe Gly Gln Gly Thr Lys Val Glu Ile Lys
                 105
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<213> Homo sapiens
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Glu Pro Ala Ser Ile Ser Cys Arg Ser Ser Gln Ser Leu Leu His Ser
                            25
         20
Asn Gly Tyr Asn Tyr Leu Asp Trp Tyr Leu Gln Lys Pro Gly Gln Ser
                         40
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Pro Gln Leu Leu Ile Tyr Leu Gly Ser Asn Arg Ala Ser Gly Val Pro
                      55
                                           60
Asp Arg Phe Ser Gly Ser Gly Ser Gly Thr Asp Phe Thr Leu Lys Ile
                   70
Ser Arg Val Glu Ala Glu Asp Val Gly Val Tyr Tyr Cys Mer Gln Ala
                                   90
Leu Gln Thr Pro
            100
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<223> Humanized 3D6 heavy chain variable region
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                                   -10
Val Gln Cys Glu Val Gln Leu Leu Glu Ser Gly Gly Gly Leu Val Gln
            1
                                               10
Pro Gly Gly Ser Leu Arg Leu Ser Cys Ala Ala Ser Gly Phe Thr Phe
                       20
Ser Asn Tyr Gly Met Ser Trp Val Arg Gln Ala Pro Gly Lys Gly Leu
                   35
Glu Trp Val Ala Ser Ile Arg Ser Gly Gly Gly Arg Thr Tyr Tyr Ser
                                   55
               50
Asp Asn Val Lys Gly Arg Pne Thr Ile Ser Arg Asp Asn Ala Lys Asn
           65
                             70
Ser Leu Tyr Leu Gln Mer Asn Ser Leu Arg Ala Glu Asp Thr Ala Leu
        80
                          85
                                              90
Tyr Tyr Cys Val Arg Tyr Asp His Tyr Ser Gly Ser Ser Asp Tyr Trp
                      100
Gly Gln Gly Thr Leu Val Thr Val Ser Ser
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                   115
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                                   10
Ser Leu Arg Leu Ser Cys Ala Ala Ser Gly Phe Thr Phe Ser Ser Tyr
           20
                               25
                                                   30
Ala Val Ser Trp Val Arg Gin Ala Pro Gly Lys Gly Leu Glu Trp Val
                                               45
Ser Ala Ile Ser Gly Ser Gly Ser Thr Tyr Tyr Ala Asp Ser Val
   50
                       55
Lys Gly Arg Phe Thr Ile Ser Arg Asp Asn Ala Lys Asn Ser Leu Tyr
                   70
                                       75
Leu Gln Mer Asn Ser Leu Arg Ala Glu Asp Thr Ala Leu Tyr Tyr Cys
                                 90
                                                     95
Ala Lys Asp Asn Tyr Asp Phe Trp Ser Gly Thr Phe Asp Tyr Trp Gly
           100
Gln Gly Thr Leu Val Thr Val Ser Ser
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<220>

120 <210= 10 <211> 98 <212> PRT <213> Homo sapiens <400> 10 Glu Val Gln Leu Glu Ser Gly Gly Gly Leu Val Gln Pro Gly Gly 1.0 Ser Leu Arg Leu Ser Cys Ala Ala Ser Gly Phe Thr Phe Ser Ser Tyr 25 Ala Met Ser Trp Val Arg Gin Ala Pro Gly Lys Gly Leu Glu Trp Val 35 40 Ser Ala Ile Ser Gly Ser Gly Ser Thr Tyr Tyr Ala Asp Ser Val 50 55 60 Lys Gly Arg Phe Thr Ile Ser Arg Asp Asn Ser Lys Asn Thr Leu Tyr 70 75 Leu Gln Met Asn Ser Leu Arg Ala Glu Asp Thr Ala Val Tyr Tyr Cys Ala Lys <210> 11 <211> 132 <212> PRT <213> Artificial Sequence <220> <221> SIGNAL <222> (1)...(20) <223: humanized 3D6 light chain variable region <400> 11 Mer Mer Ser Pro Ala Gln Pne Leu Phe Leu Leu Val Leu Trp Ile Arg -15 -10 Glu Thr Asn Gly Asp Val Val Mec Thr Gln Ser Pro Leu Ser Leu Pro 1 10 Val Thr Pro Gly Glu Pro Ala Ser Ile Ser Cys Lys Ser Ser Gln Ser 20 25 Leu Leu Asp Ser Asp Gly Lys Thr Tyr Leu Asn Trp Leu Leu Gln Lys 30 35 Pro Gly Gln Ser Pro Gln Arg Leu Ile Tyr Leu Val Ser Lys Leu Asp 50 55 Ser Gly Val Pro Asp Arg Phe Ser Gly Ser Gly Ser Gly Thr Asp Phe 65 70 Thr Leu Lys Ile Ser Arg Val Glu Ala Glu Asp Val Gly Val Tyr Tyr 85 Cys Trp Gln Gly Thr His Phe Pro Arg Thr Phe Gly Gln Gly Thr Lys 95 Val Glu Ile Lys 110 <210> 12 <211> 138 <212> PRT <213> Artificial Sequence

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                                  -10
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                             5
                                                10
             1
Pro Gly Gly Ser Leu Arg Leu Ser Cys Ala Ala Ser Gly Phe Thr Phe
   15
                       20
                                           25
Ser Asn Tyr Gly Met Ser Trp Val Arg Gln Ala Pro Gly Lys Gly Leu
                    35
                                       40
Glu Trp Val Ala Ser Ile Arg Ser Gly Gly Gly Arg Thr Tyr Ser
               50
                                   55
Asp Asn Val Lya Gly Arg Fhe Thr Ile Ser Arg Asp Asn Ser Lya Asn
                                .70
Thr Leu Tyr Leu Gln Met Asn Ser Leu Arg Ala Glu Asp Thr Ala Val
                         85
       80
                                              90
Tyr Tyr Cys Val Arg Tyr Asp His Tyr Ser Gly Ser Ser Asp Tyr Trp
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Gly Gln Gly Thr Leu Val Thr Val Ser Ser
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· <210> 13
-211= 393
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<221> sig_peptide
<222> (1)...(57)
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atg aag trg cer gtt agg etg trg gta etg atg tre tgg att eet ger
Met Lys Leu Pro Val Arg Leu Leu Val Leu Met Phe Trp Ile Pro Ala
               -15
                                    -10
tee age agt gat gtt ttg atg ace caa act cea etc tee etg cet gte
Ser Ser Ser Asp Val Leu Met Thr Gln Thr Pro Leu Ser Leu Pro Val
agt ett ggå gat caa gee tee ate tet tge aga tet agt cag aac att
Ser Leu Gly Asp Gln Ala Ser Ile Ser Cys Arg Ser Ser Gln Asn Ile
ata cat agt aat gga aac acc tat tta gaa tgg tac ctg cag aaa cca
                                                                  192
Ile His Ser Asn Gly Asn Thr Tyr Leu Glu Trp Tyr Leu Gln Lys Pro
gge cag tot coa aag ete etg ate tae aaa gtt toe aac ega tit tet
Gly Gln Ser Pro Lys Leu Leu Ile Tyr Lys Val Ser Asn Arg Phe Ser
ggg gtc cca gac agg ttc agt ggc agt gga tca ggg aca gat ttc aca
                                                                  288
Gly Val Pro Asp Arg Phe Ser Gly Ser Gly Ser Gly Thr Asp Phe Thr
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ctc aag atc aag aaa gtg gag gct gag gat ctg gga att tat tac tgc
Leu Lys Ile Lys Lys Val Glu Ala Glu Asp Leu Gly Ile Tyr Tyr Cys
ttt caa ggt tea eat gtt eeg ete aeg tte ggt get ggg ace aag etg
                                                                 384
Phe Gln Gly Ser His Val Pro Leu Thr Phe Gly Ala Gly Thr Lys Leu
                       100
                                           105
gag crg gaa
                                                                 393
Glu Leu Glu
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<212> PRT
<213> Mus musculus
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Met Lys Leu Pro Val Arg Leu Leu Val Leu Met Phe Trp Ile Pro Ala
             -15
                                 -10
                                                     -5
Ser Ser Ser Asp Val Leu Met Thr Gln Thr Pro Leu Ser Leu Pro Val
            1
Ser Leu Gly Asp Gln Ala Ser Ile Ser Cys Arg Ser Ser Gln Asn Ile
   15
                      20
                                           25
Ile His Ser Asn Gly Asn Thr Tyr Leu Glu Trp Tyr Leu Gln Lys Pro
                   35
                                     40
Gly Gln Ser Pro Lys Leu Leu Ile Tyr Lys Val Ser Asn Arg Phe Ser
             50
                                  55
                                                       60
Gly Val Pro Asp Arg Phe Ser Gly Ser Gly Ser Gly Thr Asp Phe Thr
           65
                               70
Leu Lys Ile Lys Lys Val Clu Ala Glu Asp Leu Gly Ile Tyr Tyr Cys
                          85
Phe Gln Gly Ser His Val Pro Leu Thr Phe Gly Ala Gly Thr Lys Leu
  95
                       100
Glu Leu Glu
110
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                                                                 48
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gre org ree cag ger act org aaa gag tot gge eet gga ata ttg cag
Val Leu Ser Gln Ala Thr Leu Lys Glu Ser Gly Pro Gly Ile Leu Gln
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                                               10
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Ser Thr Ser Gly Met Gly Val Ser Trp Ile Arg Gln Pro Ser Gly Lys
99r crg gag t9g crg gca cac att tac tgg gat gat gac aag cgc tat
Gly Leu Glu Trp Leu Ala Fis Ile Tyr Trp Asp Asp Asp Lys Arg Tyr
aac cea tee erg aag age egg ete aca ate tee aag gat ace tee aga
Asn Pro Ser Leu Lys Ser Arg Leu Thr Ile Ser Lys Asp Thr Ser Arg
             65
                                   70
ang cag gta tre etc ang ate ace agt gtg gne eet gen gat act gee
                                                                       336
Lys Gln Val Phe Leu Lys Ile Thr Ser Val Asp Pro Ala Asp Thr Ala
                               85
aca tac tac tgt gtt cga agg ccc att act ccg gta cta gtc gat gct
Thr Tyr Tyr Cys Val Arg Arg Pro Ile Thr Pro Val Leu Val Asp Ala
atg gac tac tgg ggt caa gga acc tca gtc acc.gtc tcc tca
                                                                       426
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                                    -10
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             1
Ser Ser Gln Thr Leu Ser Leu Thr Cys Ser Phe Ser Gly Phe Ser Leu
   15
                      20
                                              25
Ser Thr Ser Gly Met Gly Val Ser Trp Ile Arg Gln Pro Ser Gly Lys
                 35
                                       40
Gly Leu Glu Trp Leu Ala His Ile Tyr Trp Asp Asp Asp Lys Arg Tyr
50 55 60
                50
                                     55
Asn Pro Ser Leu Lys Ser Arg Leu Thr Ile Ser Lys Asp Thr Ser Arg
            65
                                70
Lys Gln Val Phe Leu Lys Ile Thr Ser Val Asp Pro Ala Asp Thr Ala
                          85
       80
Thr Tyr Tyr Cys Val Arg Arg Pro Ile Thr Pro Val Leu Val Asp Ala 95 100 105
Met Asp Tyr Trp Gly Gln Gly Thr Ser Val Thr Val Ser Ser
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ccgtgacccc cggcga
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ggacaggggg g
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ccaagetgga eteeggegtg eccgaeeget teteeggete eggeteegge accgaetrea 120
cccrgaagar crcccgcgrg gaggcc
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geggeteet gegeetgt
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geeggetge accag
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teectgegeg eegaggacae eg
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Asp Ala Glu Phe Arg His Asp Ser Gly Tyr
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teeggeraeg tggtgatgat coagtcocce etgtecetge cogtgacce oggcgagece 120
georgeater corgonages orccoagree orgonggaer cogacogeaa gacoracorg 180
aactggctge tgeagaagee eggeeagtee eeceagegee tgatetaeet ggtgteeaag 240
CT99aCTCC9 909T9ccc9a cc9cttctcc ggctccg9ct cc99cacc9a cttcaccctq 300
aagateteee gegrggagge cgaggacgtg ggegrgtaet aetgetggea gggcacccae 360
trecceegea cetreggeea gggeaceaag grggagarea ag
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georgeatur corgonageo oroccagroe orgerggaer cogaeggean gaectacerg 180
aactggetge tgeagaagee eggeeagtee ecceagegee tgatetacet ggtgtceaag 240
erggaereeg gegraecega cegerreree ggereegger ceggeacega erresecerg 300
aagateteee gegtggagge egaggaegtg ggegtgtaet aetgetggea gggeaeceae 360
rreceeegea cerregeea gggcaccaag grggagarea ag
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gracegetge ragaqueega caacaacera graceacera geagetecer geaceratee 120
tgcgccgcct ccggcttcac cttctccaac tacggcatgt cctgggtgcg ccaggccccc 180
ggcaagggcc tggagtgggt ggcctccatc cgctccggcg geggccgcac ctactactcc 240
gacaacgrga agggeegerr caccatetee egegacaacg ceaagaacte cetgtacetg 300
cagargaacr cccrgcgcgc cgaggacacc gcccrgracr acrgcgrgcg cracgaccac 360
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                                                45
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Asp Lys Phe Arg Gly Val Glu Phe Val Cys Cys Pro Leu Ala Glu Glu
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                                           220
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ELN-002
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PLN-002
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ELN-002
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EXHIBIT 7

PAGE: VERIFICATION SUMMARY REPORT DATE: 02/23/2007 PATENT APPLICATION TIME: 10:39:24 INPUT SEQ: G:\Data\E\ELN\002\Perition for Reconsideration\Sequence Listing\sequence listing text.txt GENERAL INFORMATION SECTION 3,<110 > Basi, Guriq 4. Saldanha, Jose 5. Yednock, Ted 7. <120 > HUMANIZED ANTIBODIES THAT RECOGNIZE BETA-AMYLOID PEPTIDE 10,<130> ELN-002 12.<140> US 10/010,942 13,<141> 2001-12-06 15,<150> US 60/251,892 16,<151> 2000-12-06 18,<160> 63 20,<170> FastSEQ for Windows Version 4.0 ERRORED LINES SECTION STATISTICS SUMMARY Application Serial Number: US 10/010,942 Alpha or Numeric: Numeric Application Class: Application File Date: 2001-12-06 Art Unit: Software Application: FastSEQ Total Number of Sequences: 63 Total Nucleotides: 5470 Total Amino Acids: 2307

Number of Errors: 0 Number of Warnings: 0 Number of Corrections: 0 I hereby certify that this paper (along with any paper referred to as being affacthed or enclosed) is being transmitted by facsimile to the Patent and Trademark Office, Office of Petitions, incrimite no. (571) 273-8300 at Commissioner for Patents, P.O. Box 1450 Alexandria, Va. 22313-1450 on the date shown below.

Dated: February 26, 2007

Signature:

(Anny E. Mandragouras)

EXHIBIT 8

Docket No.: ELN-002 (PATENT)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:

Guriq Basi et al.

Application No.: 10/010942 Confirmation No.: 5594

Filed: December 6, 2001 Art Unit: 1649

For: HUMANIZED ANTIBODIES THAT Examin

RECOGNIZE BETA AMYLOID PEPTIDE

Examiner: Ballard, Kimberly A.

AFFIDAVIT BY MICAELA C. HILL

MS Petition Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Sir:

- I, Ms. Micaela C. Hill, declare the following:
- I am presently a paralegal at the firm of Lahive & Cockfield LLP. I have been employed as a paralegal for approximately 1 year. My responsibilities include the preparation of Sequence Listings, including sequence diskettes, for submission to the United States Patent & Trademark Office (USPTO).
- 2. I have inspected Applicants' Attorney's file copy of the sequence diskette mailed on July 1, 2002 to the USPTO and confirm that it is in working condition and in computer-readable form.

Serial No. 10/010,942 ELN-002

3. I have used Applicants' Attorney's file copy of the diskette mailed July 1, 2002 to print a paper copy of the Sequence Listing contained thereon. The paper copy of Applicants' Attorney's file copy of the July 1, 2002 sequence diskette is submitted together with this Affidavit as Exhibit 6.

- 4. I hereby state that the content of Applicants' Attorney's file copy of the July 1, 2002 diskette and the paper copy of the Sequence Listing contained thereon are the same.
- 5. I declare further that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements are made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under §1001 of Title XVIII of the United States Code, and that such willful false statements may jeopardize the validity of this Application for Patent or any patent issuing thereon.

Date: February 26, 2007

Signed

EXHIBIT 9

SeqlistCorrected.txt SEQUENCE LISTING

	Yedno	inna, ick,	Ted													
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<130>	ELN-	002														
<140> <141>	us 1 2001	0/01 -12-	.0,94 06	2												
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gtt val	acc Thr	att	gga Gly	caa Gln	cca Pro	gcc Ala	rcc Ser 20	ile	tct ser	tgc Cys	aag Lys	tca ser 25	agt Ser	cag Gln	agc ser	144
ct(tta Leu	15 gat Asp	agt ser	gat ASP	gga Gly	aag Lys	aca Thr	tat Tyr	ttg Leu	aat Asn	199 170 40	ttg Leu	tra Leu	cag Gln	agg arg	192
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												203	CTT	τατ	tat	336
ា្រ	it rer	ı Ly.	~ ~ ò č	`	_			8	7							384
τί	gc Egg	g ca	a gg1	c aca	cat	tti	cc.	r cg	g acc	tto Page	: ggt : 1	. 49°	. 23°		J	

I hereby cereity that this paper (along with any paper referred to as being attached or enclosed) to being transmitted by facilities to the Patent and Transmitted Differ. Office of Petitions. Largingly no. (571) 273-8300 at transmitted by facilities to the Patent and Transmitted Differ. Office of Petitions. Jack the shown below.

Commissioner for Patents. P.O. Buy 1830, Alexand Course 27313-140, on the date shown below. EXHIBIT 10 Docker No.: ELN-002 Dated February 26, 2007 (PATENT)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of: Guriq Basi et al.

Filed: December 6, 2001

For: HUMANIZED ANTIBODIES THAT RECOGNIZE BETA AMYLOID PEPTIDE

Confirmation No.: 5594 Application No.: 10/010942

Art Unit: 1649

Examiner: Ballard, Kimberly A.

AFFIDAVIT BY PATRICIA ROBINSON

MS Petition Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Sir:

- I, Ms. Patricia Robinson, declare the following:
- I am Associate Director of Intellectual Property at Elan Pharmaceuticals, Inc.1. 1.
- At our instruction, Applicants' Attorney sends us duplicate copies of all 2. correspondence filed with the USPTO, including sequence diskettes. I have inspected our file copy of the sequence diskette mailed by Applicants' Attorney on July 1, 2002 to the USPTO and confirm that it is in working condition and in computer-readable form.

Elan Pharmaceuticals, loc is a wholly-owned subsidiary of Elao Corporation, ple Elan Pharma International Ltd is co-assignee of record in the above-referenced application, is an indirect wholly-owned subsidiary of Elan Corporation, ple

Serial No. 10/010,942

ELN-002

- 3. I have used our file copy of the diskette mailed by Applicants' Attorney's on July 1, 2002 to print a paper copy of the Sequence Listing contained thereon. The paper copy of our file copy of the July 1, 2002 sequence diskette is submitted together with this Affidavit as Exhibit 9.
- 4. I hereby state that the content of our file copy of the July 1, 2002 diskette and the paper copy of the Sequence Listing contained thereon are the same.
- 5. I declare further that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements are made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under §1001 of Title XVIII of the United States Code, and that such willful false statements may jeopardize the validity of this Application for Patent or any patent issuing thereon.

Date: February 26, 2007

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SeqlistCorrected.txt

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100

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seqlistCorrected.txt

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Glu Trp val Ala Ser Ile Arg Ser Gly Gly Gly Arg Thr Tyr Tyr Ser
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Thr Leu Tyr Leu Gln Met Ser Ser Leu Lys Ser Glu Asp Thr Ala Leu
80
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65

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page 3

SeglistCorrected.txt

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15
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Ser Ala Ile Ser Gly Ser Gly Gly Ser Thr Tyr Tyr Ala Asp Ser Val
Lys Gly Arg Phe Thr Ile Ser Arg Asp Asn Ala Lys Asn Ser Leu Tyr
65
Leu Gln Met Asn Ser Leu Arg Ala Glu Asp Thr Ala Leu Tyr Tyr Cys
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Page 5
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SeqlistCorrected.txt

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Lys Gly Arg Phe Thr Ile Ser Arg Asp Asn Ser Lys Asn Thr Leu Tyr
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Ala Lys
      Ala Lys
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Page 6

288

SeqlistCorrected.txt <223> Humanized 3D6 light chain variable region

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80

85
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Glu Leu Glu
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seqlistCorrected.txt

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agc act tot ggt atg gga gtg agc tgg att cgt cag cot toa gga aag 19 agc act tot ggt atg gga gtg agc tgg att cgt cag cot toa gga aag 19 ser Thr Ser Gly Met Gly val Ser Trp Ile Arg Gln Pro Ser Gly Lys 45 45	2
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aac cca tcc ctg aag agc cgg ctc aca atc tcc aag gat acc tcc aga 28 aac cca tcc ctg aag agc cgg ctc aca atc tcc aag gat acc tcc aga 28 Asn Pro Ser Leu Lys Ser Arg Leu Thr Ile Ser Lys Asp Thr Ser Arg 70 75	88
	36
aca tac tac tgt gtt cga agg ccc att act ccg gta cta gtc gat gct 3 aca tac tac tgt gtt cga agg ccc att act ccg gta cta gtc gat gct 3	84
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val Leu Ser Gin Ala Thr Leu Lys Giu Sor Phe Ser Giv Phe Ser Leu	
Ser ser Gin Thr Leu Ser Leu Thr Cys ser Phe Ser Gly Phe Ser Leu 20 21 22 25 26 27 27 28 29 20 20 20 20 20 20 20 20 20	
Ser Ser Gin Thr Lea 35 20 20 20 25 25 26 27 20 27 27 27 27 27 27 27 27 27 27 27 27 27	
30 Low Glu Tro Leu Ala His Ile Tyr Irp Asp Asp Asp 60"	
Ser Ley Lys Ser Arg Ley Thr Tie Ser Lys Ask 75	
and wal the Leu Lys Tie ini Sei tei Tar an	
80 : The The Pro Val Leu Val ASP ""	
95 The Ser val The val Ser Ser	
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SeqlistCorrected.txt

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SeqlistCorrected.txt

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seglistCorrected.txt

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Page 13
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SeqlistCorrected.txt

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Page 15

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SeqlistCorrected.txt

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	i jádheire		
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,	i is not be all an ord () pr. pr.		
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:	. may - my		

SeglistCorrected.txt

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I hereby certify that this paper (alogs with any paper referred to as being anathed or enclosed) is being transmitted by facultude to the Paper and Tragement Office. Office of Robbions, facultude to (571) 273-8300 at Commissioner for Patern. P.O. Box 1450, Accumum, VA 2313-1450 on the date shown below. (AID)

EXHIBIT 11

Docket No.: ELN-002 (PATENT)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:

Guriq Basi et al.;

Application No.; 10/0/0942

Confirmation No.: 5594

Filed: December 6, 2001

Art Unit: 1649

Examiner: Ballard, Kimberly A.

For: HUMANIZED ANTIBODIES THAT RECOGNIZE BETA AMYLOID PEPTIDE

AFFIDAVIT BY DEBRA J. MILASINCIC

MS Petition

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 223 13-1450

Sit:

- I, Debrail, Measincic, Esq., declare the following:
- I am presently a Partner at the firm of Lahive & Cockfield LLP. 1.
- I reviewed and filed on behalf of Applicants the Response to Missing Parts 2. dated July 1, 2002, including the sequence listing and sequence diskette.
- It is my understanding that according to our firm practice at this time, sequence 3. listings were prepared by our paralegal department using the Patentin software. The paralegal department would salle three copies of the electronic sequence listing in ASCII format to three

Serial No. 10/010,942

ELN-002

separate diskertes: one USPTO copy, one file copy; and one client copy. The sequence diskertes were then delivered by the paralegal department to the responsible attorney.

- 4. It is also my understanding that prior to mailing a response to the USPTO which included a sequence diskette, it was our firm practice to confirm the content of the diskette.
- declare further that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements are made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under §1001 of Title XVIII of the United States Code, and that such willful false statements may jeopardize the validity of this Application for Patent or any patent issuing thereon.

Date: February 26, 2007

EXHIBIT 12

THE "RECEIVED" STAMP OF THE PATENT AND TRADEMARK OFFICE IMPRINTED HEREON ACKNOWLEDGES THE FILING OF:

Office No. ELN-002

postcard. with Requirements for Parent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Nucleotide Sequence and/or Artino Acid Sequence Disclosures (1 page); and this prepaid acknowledgment Containing Computer Readable Form of Substitute Sequence Listing, Paper Copy of Substitute Sequence Disclosures (2 pages); Transmittal Letter for Diskette Containing Substitute Sequence Listing (1 page); Diskette Description of Paper, and No.: Transminal Letter (1 page, in duplicate); Response to Notice to Comply Listing (pages 1-22); Copy of Notice to Comply with Requirements for Patent Applications Containing

Title: Humanized Antibodies That Recognize Beta Amyloid Peptide

Name of Applicants: Guriq Basi, et al

Attorneys: AEM/DJM/CEH Intf. or Serial No .: 10/010942

Date: September 16, 2002

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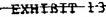
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SEQUENCE LISTING UNDER 37 CFR 1.825 (CORRECTED SEQUENCE)

Applicants. Basi, Guriq et al. Serial No : 10/010,942 Filed: 2001-12-06

For: HUMANIZED ANTIBODIES THAT RECOGNIZE BETA AMYLOID PEPTIDE

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Applicants: Basi, Guriq et al. Serial No.: 10/010,942 Filed: 2001-12-06

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Attorney Docket No. ELN-007

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EXHIBIT 14

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Attorney Docket No. ELN-007
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Thr Lea Lys Ile Ser Arg Ile Glu Ala Glu Asp Lea Gly Lea Tyr Tyr
tgc tgg caa ggt aca cat ttt cct egg acg ttc ggt gga ggc acc aag
                                                                 384
Cys Trp Gin Gly Thr His Phe Pro Arg Thr Phe Gly Gly Thr Lys
                           100
                                                                 396
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                 -15
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                                5
Val Thr Ile Gly Gln Pro Ala Ser Ile Ser Cys Lys Ser Ser Gln Ser
                                               25
                          20
Led Led Asp Ser Asp.Gly Lys Thr Tyr Led Asn Trp Led Led Gln Arg
                       35
Pro Gly Gln Ser Pro Lys Arg Leu Ile Tyr Leu Val Ser Lys Leu Asp
                                       55
                   50
Ser Gly Val Pro Asp Arg Pne Thr Gly Ser Gly Ser Gly Thr Asp Pne
                65
Thr Leu Lys Ile Ser Arg Ile Glu Ala Glu Asp Leu Gly Leu Tyr Tyr
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Cys Trp Gln Gly Thr His Phe Pro Arg Thr Phe Gly Gly Thr Lys
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Leu Glu Ile Lys
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Attorney Docket No. ELN-002 7
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Thr Leu Tyr Leu Gln Met Ser Ser Leu Lys Ser Glu Asp Thr Ala Leu
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Tyr Tyr Cys Val Arg Tyr Asp His Tyr Ser Gly Ser Ser Asp Tyr Trp
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                   -15
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                                 5
                                                    10
Val Thr Pro Gly Glu Pro Ala Ser Ile Ser Cys Lys Ser Ser Gln Ser
                            20
                                                25
       15
Leu Leu Asp Ser Asp Gly Lys Thr Tyr Leu Asn Trp Leu Leu Gln Lys
                       3.5
Pro Gly Gln Ser Pro Gln Arg Lea Ile Tyr Leu Val Ser Lys Leu Asp
                                        55
                    50
45
Ser Gly Val Pro Asp Arg fine Ser Gly Ser Gly Ser Gly Thr Asp Phe
                                                        75
                                    70
                65
Thr Leu Lys Ile Ser Arg Val Glu Ala Glu Asp Val Gly Val Tyr Tyr
                              85
Cys Trp Gln Gly Thr His Phe Pro Arg Thr Phe Gly Gln Gly Thr Lys
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                            100
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           -10
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Ser Ile Ser Cys Arg Ser Ser Gln Ser Leu Leu His Ser Asn Gly Tyr

15

70

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Aπorney Docket No. BLN-003
                                       30
20
                   25
Asn Tyr Leu Asp Trp Tyr Leu Gln Lys Pro Gly Gln Ser Pro Gln Leu
                                   45
              40
Leu Ile Tyr Leu Gly Ser Asn Arg Ala Ser Gly Val Pro Asp Arg Phe
                               60
                                                  65
Ser Gly Ser Gly Ser Gly Thr Asp Phe Thr Leu Lys Ile Ser Arg Val
                           75
Glu Ala Glu Asp Val Gly Val Tyr Tyr Cys Met Gln Ala Leu Gln Thr
Pro Arg Thr Phe Gly Gln Gly Thr Lys Val Glu Ile Lys
                   105
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                                 10 ·
                5
1
Glu Pro Ala Ser Ile Ser Cys Arg Ser Ser Gln Ser Leu Leu His Ser
                               25
                                                   30
           20
Asn Gly Tyr Asn Tyr Leu Asp Trp Tyr Leu Gln Lys Pro Gly Gln Ser
                           40
Pro Gln Leu Leu Ile Tyr Leu Gly Ser Asn Arg Ala Ser Gly Val Pro
                      55
Asp Arg Phe Ser Gly Ser Gly Ser Gly Thr Asp Phe Thr Leu Lys Ile
                                    75
                   70
Ser Arg Val Glu Ala Glu Asp Val Gly Val Tyr Tyr Cys Met Gln Ala
Leu Gln Thr Pro
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                -15
                                   -10
Val Gin Cys Glu Val Gin feu Leu Glu Ser Gly Gly Leu Val Gin
                            5
Pro Gly Gly Ser Leu Arg Leu Ser Cys Ala Ala Ser Gly Phe Thr Phe
                       20
                                           25
```

Ser Asn Tyr Gly Met Ser Trp Val Arg Gln Ala Pro Gly Lys Gly Leu

Glu Trp Val Ala Ser Ile Arg Ser Gly Gly Gly Arg Thr Tyr Tyr Ser

Asp Asn Val Lys Gly Arg Phe Thr Ile Ser Arg Asp Asn Ala Lys Asn

40

35

50

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Attorney Docket No. ELN-007
                               70
Ser Leu Tyr Leu Gln Met Asn Ser Leu Arg Ala Glu Asp Thr Ala Leu
              85
                                            90
Tyr Tyr Cys Val Arg Tyr Asp His Tyr Ser Gly Ser Ser Asp Tyr Trp
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Gly Gln Gly Thr Leu Val Thr Val Ser Ser
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Glu Val Gln Leu Leu Glu Ser Gly Gly Gly Leu Val Gln Pro Gly Gly
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Ser Leu Arg Leu Ser Cys Ala Ala Ser Gly Phe Thr Phe Ser Ser Tyr
           20
                               25
Ala Val Ser Trp Val Arg Gln Ala Pro Gly Lys Gly Leu Glu Trp Val
                           40
                                              45
Ser Ala Ile Ser Gly Ser Gly Gly Ser Thr Tyr Tyr Ala Asp Ser Val
                       55
Lys Gly Arg Phe Thr Ile Ser Arg Asp Asn Ala Lys Asn Ser Leu Tyr
                                   75
                  70
Leu Gln Met Asn Ser Leu Arg Ala Clu Asp Thr Ala Leu Tyr Tyr Cys
              85
                                  90
Ala Lys Asp Asn Tyr Asp Phe Trp Ser Gly Thr Phe Asp Tyr Trp Gly
          100
                              105
Gln Gly Thr Leu Val Thr Val Ser Ser
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                                   10
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                               25
Ala Met Ser Trp Val Arg Gln Ala Pro Gly Lys Gly Leu Glu Trp Val
                           40
Ser Ala Ile Ser Gly Ser Gly Ser Thr Tyr Tyr Ala Asp Ser Val
Lys Gly Arg Phe Thr Ile Ser Arg Asp Asn Ser Lys Asn Thr Leu Tyr
                                    75
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Ala Lys
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                                        -10
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                                                    10
Val Thr Pro Gly Glu Pro Ala Ser Ile Ser Cys Lys Ser Ser Gln Ser
                            20
Leu Leu Asp Ser Asp Gly Lys Thr Tyr Leu Asn Trp Leu Leu Gln Lys
                        35
                                            40
Pro Gly Gln Ser Pro Gln Arg Leu Ile Tyr Leu Val Ser Lys Leu Asp
                                        55
                    50
Ser Gly Val Pro Asp Arg Phe Ser Gly Ser Gly Ser Gly Thr Asp Phe
                                    70
The Leu Lys Ile Ser Arg Val Glu Ala Glu Asp Val Gly Val Tyr Tyr
                                85
Cys Trp Gln Gly Thr His Phe Pro Arg Thr Phe Gly Gln Gly Thr Lys
                            100
                                                105
Val Glu Ile Lys
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                        20
Ser Asn Tyr Gly Met Ser Trp Val Arg Gln Ala Pro Gly Lys Gly Leu
                                         40
Glu Trp Val Ala Ser Ile Arg Ser Gly Gly Gly Arg Thr Tyr Tyr Ser
                50
                                    55
Asp Asn Val Lys Gly Arg Phe Thr Ile Ser Arg Asp Asn Ser Lys Asn
                                70
                                                    75
Thr Leu Tyr Leu Gln Met Asn Ser Leu Arg Ala Glu Asp Thr Ala Val
Tyr Tyr Cys Val Arg Tyr Asp His Tyr Ser Gly Ser Ser Asp Tyr Trp
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Attorney Docket No. ELN-007
                       100
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Gly Gln Gly Thr Leu val Thr Val Ser Ser
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Met Lys Leu Pro Val Arg Leu Leu Val Leu Met Phe Trp Ile Pro Ala
                -15
tee age agt gat grt tig atg ace caa act eea etc tee eig eet gto
                                                                   96
Ser Ser Ser Asp Val Leu Met Thr Gln Thr Pro Leu Ser Leu Pro Val
agt ett gga gat caa gee tee ate tet tge aga tet agt cag aac att
                                                                   144
Ser Leu Gly Asp Gln Ala Ser Ile Ser Cys Arg Ser Ser Gln Asn Ile
                         20
ata cat agt aat gga aac acc tat tta gaa tgg tac ctg cag aaa cca
                                                                   192
Ile His Ser Asn Gly Asn Thr Tyr Lea Gla Trp Tyr Lea Gln Lys Pro
                     35
                                         40
                                                                   240
gge cag tet eca aag ete etg ate tae aaa gtt tee aac ega tit tet
Gly Gln Ser Pro Lys Leu Leu Ile Tyr Lys Val Ser Asn Arg Phe Ser
                 50
ggg gtc cca gac agg ttc agt ggc agt gga tca ggg aca gat ttc aca
                                                                   288
Gly Val Pro Asp Arg Phe Ser Gly Ser Gly Ser Gly Thr Asp Phe Thr
                                                                   336
ctc aag atc aag aaa gtg gag gct gag gat ctg gga att tat tac tgc
Leu Lys Ile Lys Lys Val Glu Ala Glu Asp Leu Gly Ile Tyr Tyr Cys
         80
                             85
ttt caa ggt tca cat gtt ccg ctc acg ttc ggt gct ggg acc aag ctg
                                                                   384
Phe Gln Gly Ser His Val Pro Leu Thr Phe Gly Ala Gly Thr Lys Leu
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Glu Leu Glu
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               -15
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                                                10
            1
Ser Leu Gly Asp Gln Ala Ser Ile Ser Cys Arg Ser Ser Gln Asn Ile
                        20
                                            25
Ile His Ser Asn Gly Asn Thr Tyr Leu Glu Trp Tyr Leu Gln Lys Pro
                                        40
                    35
Gly Gln Ser Pro Lys Leu Leu Ile Tyr Lys Val Ser Asn Arg Phe Ser
                50
                                    55
Gly Val Pro Asp Arg Phe Ser Gly Ser Gly Ser Gly Thr Asp Phe Thr
                                70
                                                    75 :
            65
Leu Lys Ile Lys Lys Val Glu Ala Glu Asp Leu Gly Ile Tyr Tyr Cys
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                        †00
  95
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                                                                   96
gto ctg too cag got act ctg aaa gag tot ggo cot gga ata ttg cag
Val Leu Ser Gln Ala Thr Leu Lys Glu Ser Gly Pro Gly Ile Leu Gln
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tee tee cag acc etc agt etg act tgt tet tte tet ggg ttt tea etg Ser Ser Gln Thr Leu Ser Leu Thr Cys Ser Phe Ser Gly Phe Ser Leu

age act tot ggr atg gga gtg age tgg att egt eag eet tea gga aag Ser Thr Ser Gly Met Gly Val Ser Trp Ile Arg Gln Pro Ser Gly Lys

40

20

35

336

384

426

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aac coa too otg aag ago egg oto aca ato too aag gat acc tpc aga
Asn Pro Ser Leu Lys Ser Arg Leu Thr Ile Ser Lys Asp Thr Ser Arg
            65
                                70
and cag gta .ttc ctc and atc acc agt gtg gac cct gca gat act gcc
Lys Gln Val Phe Lea Lys Ile Thr Ser Val Asp Pro Ala Asp Thr Ala
aca tac tac tgt gtt cga agg ccc att act ccg gta cta gtc gat gct
Thr Tyr Tyr Cys Val Arg Arg Pro Ile Thr Pro Val Leu Val Asp Ala
                                           105
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            1
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                       20
Ser Thr Ser Gly Met Gly Val Ser Trp Ile Arg Gln Pro Ser Gly Lys
                35
                                    40
Gly Leu Glu Trp Leu Ala His Ile Tyr Trp Asp Asp Lys Arg Tyr
Asn Pro Ser Leu Lys Ser Arg Leu Thr Ile Ser Lys Asp Thr Ser Arg
                           70
Lys Gln Val Phe Leu Lys lle Thr Ser Val Asp Pro Ala Asp Thr Ala
Thr Tyr Tyr Cys Val Arg Arg Pro Ile Thr Pro Val Leu Val Asp Ala
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   95
Met Asp Tyr Trp Gly Gln Gly Thr Ser Val Thr Val Ser Ser
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                                                                    19
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From-LAHIVE+COCKFIELD 617 7424214
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geetecatet congeaagte etceeagtee engenggaet eegaeggeaa gacetacetg 180
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 ctggactccg gcgtgcccga ccqcttctcc ggctccggct ccggcaccga cttcaccctg 300
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aactggctgc tgcagaagcc eggccagtcc ccccagcgcc tgatctacct ggtgtccaag 240
ctggactecg gegtgeeega eegattetee ggeteegget eeggeacega etteaceetg 300
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Attorney Docket No. ELN-002

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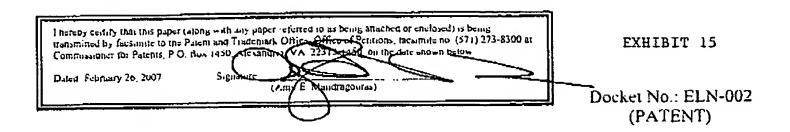
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:

Guriq Basi et al.

Application No.: 10/010942

Confirmation No.: 5594

Filed: December 6, 2001

Art Unit: 1649

For: HUMANIZED ANTIBODIES THAT

RECOGNIZE BETA AMYLOID PEPTIDE

Examiner: Ballard, Kimberly A.

MS Petition Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

STATEMENT

Dear Sir:

I hereby state that I have reviewed the paper copy of the Sequence Listing identified as. Exhibit 6, and have reviewed the paper copy of the Sequence Listing identified as Exhibit 14, and further state that the contents of these Sequence Listings are the same.

Dated: February 26, 2007

Respectfully submitted

Amy E. Mandragouras Registration Do.: 36,207

LAHIVE & COCKFIELD, LLP

28 State Street

Boston, Massachusetts 02109

(617) 227-7400

(617) 742-4214 (Fax)

Attorney/Agent For Applicant

EXHIBIT 16

Duplicates in View of USPS Mail Delays - OG Date: 15 January 2002

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United States Patent and Trademark Office OG Notices: 15 January 2002

Processing of, and Requirements for, the Filing of Duplicate Applications and Papers in Patent Applications in view of USPS Mail Delays

Although mailed correspondence is being received by the United States Patent and Trademark Office (USPTO or Office), many papers that were mailed by first class mail or Express Mail through the United States Postal Service (USPS) in October and November of 2001 have had their delivery delayed. See Mitigation of Delays in Mail Deliveries to the JSPTO, which is posted on the USPTO Internet Web site at: attp://www.uspto.gov/septemberll/mitigationofmaildelays.htm. Some of those papers still have not been received by the USPTO. Although the USPS reports (http://www.usps.com/news/2001/press/pr01_1023fact.htm) that "98% of mail at the Brentwood facility has been sanitized and delivered," the USPS has also informed the USPTO that some of the mail that was in the Brentwood Mail facility on October 21 or 22, 2001 may never be received by the USPTO because of anthrax-related iecontamination activities. Some applicants, concerned about papers nailed during this time period that have not been received by the JSPTO, have filed duplicate copies of the original correspondence along with a statement that meets the requirement in 37 CFR 1.8(b)(3) prior to any holding of abandonment to permit the Office to more timely act on the correspondence. While Office processing of such duplicates will enable the examination process to move forward, applicants should be aware that the submission of duplicate copies may be unnecessary (and could slow down the processing of the application) and that double charging (collection) of the fees may result from subsequent processing by the Office of the delayed original, which may lead to the submission for, and the processing of, refund requests. The Office will try, nowever, to avoid double charging (collection) of fees as much as is cossible.

[. Timeliness of Replies Whose Delivery to the Office has been Delayed:

In accordance with the Office's usual practice, if a paper was nailed with a certificate of mailing, the Office will determine the :imeliness (e.g., 35 U.S.C. 133) of the paper based on the pertificate of mailing date as set forth in 37 CFR 1.8(a). See Manual of Patent Examining Procedure (MPEP), Eighth Edition, (August 2001). If a paper was sent by Express Mail, the Office will letermine the timeliness and filing date of the paper based on the date of deposit with the USPS, which is the "date-in" on the Express Mail mailing 513. Therefore, if the label as set forth in 37 CFR 1.10(a). See MPEP procedures under 37 CFR 1.8 or 1.10 have been followed, any delays in delivery of the paper to the Office will not impact the timeliness of the paper. The Office will process a reply (whose delivery to the Office has been delayed) as timely if the date on the certificate of mailing, or the "date-in" on the Express Mail mailing label, is within the period for reply set forth in the prior Office action or notice.

imp://www.uspio.gov/web/offices/com/sol/cg/2002/week03/paidups.htm

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II. Timeliness of Duplicate Replies Filed when the Original has not been Received by the Office:

- A. If the duplicate is, itself, timely filed: If applicant submits a implicate copy of a paper that has not been received in the Office, the implicate paper will be processed by the Office as timely if the duplicate is filed within the period for reply to the prior Office action or notice (not considering any extensions of time that may have been available).
- B. If a duplicate is filed after the expiration of reply period but with acceptable proof of prior timely filing: If the priginal reply was timely mailed within the period from October 13, 2001 to December 1, 2001 using the certificate of mailing procedure under 37 CFR 1.8, and a duplicate copy is received in the Office after the period for reply has expired, then the Office shall accept the duplicate as the reply, and to have been timely filed, if applicant submits:
- (1) a copy of the previously mailed reply and certificate of nailing of the previously mailed reply (the certificate of mailing must be signed and the certificate of mailing must itself indicate the date of mailing); and
- (2) a statement that the reply was previously mailed to the USPTO on the late indicated on the certificate of mailing.

It is not sufficient to stamp the reply "Duplicate" or "Copy" and to fax the document to the USPTO, a statement is always required. The statement can be part of the fax transmittal cover sheet or the cover letter so long is the fax transmittal sheet is signed as specified below. The statement must be signed by: the person who personally mailed the original reply, a registered patent attorney or agent, the assignee of the entire interest, or the applicant (all of the inventors or the party qualified under 37 CFR 1.42, 1.43 or 1.47). For example, the statement may be:
"This is a copy of correspondence that was mailed to the USPTO on date" or "This is a copy of an amendment that was mailed to the USPTO on the date of the certificate of mailing."

If a certificate of mailing as set forth in 37 CFR 1.8 was not used (or if the certificate of mailing was not signed, or if the certificate of mailing did not include a date), and applicant does not have a post card receipt for the correspondence, the Office cannot accord the duplicate correspondence any date other than the date that the duplicate was actually received in the Office. If the duplicate copy was not itself timely filed, applicant should consider filing a petition to revive under 37 CFR 1.137(a) or (b).

To the extent that this treatment of showings as set forth 37 CFR 1.8(b) (3) is less stringent than the requirements set forth in 37 CFR 1.8(b)(3), the provisions of 37 CFR 1.8(b)(3) are hereby sua sponte waived for replies mailed on or after October 13, 2001 and no later than December 1, 2001.

III. Establishing that a Paper other than a Reply was Mailed to the USPTO

imp://www.uspto.gov/web/offices/com/sol/og/2002/week03/patdups.htm

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A paper that is not a reply to an Office action or is not a correspondence that is required to be filed in the USPTO within a set period of time is NOT entitled to the benefit of a certificate of nailing under 37 CFR 1.8(a). The filing date of such a paper is the actual date of receipt in the USPTO, except as provided by 37 CFR 1.10. For example, a preliminary amendment is not a reply to an Office action and, therefore, would not receive the benefit of a certificate of mailing under 37 CFR 1.8(a). On the other hand, an information disclosure statement (IDS) will be considered to have been filed on the "date that it was received in the Office, or an earlier date of mailing if accompanied by a properly executed certificate of mailing." See MPEP 609, page 600-124. An IDS is entitled to the benefit of a certificate of mailing under 37 CFR 1.8(a) since the IDS is a correspondence that is required to be filed in the USPTO within a set period of time. To establish that a paper not entitled to the benefit of a certificate of mailing under 37 CFR 1.8(a) was filed in the USPTO, applicant must have used Express Mail and comply with the provisions of 37 CFR 1.10, or have a post card receipt establishing that the paper was actually received in the USPTO. Other than in these rircumstances, the rules do not provide a mechanism for establishing that such a paper was filed in the USPTO.

IV. Office Will Try to Call Before Abandoning Applications Without a Reply:

In most circumstances, before holding an application to be abandoned, staff from the Technology Centers and the Office of Patent Publication will attempt to call applicants to see if a reply has been previously filed. If a reply has been filed, applicant will be requested to fax (or file) a duplicate copy of the prior (original) paper along with a showing as set forth in 37 CFR 1.8(b)(3) in order to avoid the application from being held abandoned.

If applicant files a duplicate with an acceptable showing as set forth in 37 CFR 1.8(b)(3), it will avoid both the Office holding the application as abandoned, and the processing delays associated with the withdrawal of such abandonment.

J. Duplicate Fee Charges (Collections) are Possible When Duplicates are Filed:

when the Office is processing a duplicate before processing the original, the Office shall charge (collect) all fees that are due for the proper processing of the paper, and will not process any papers that are not accompanied by the appropriate fee. Accordingly, applicants should expect that the same fees may inadvertently be charged (collected) when the Office later processes the original paper. The Office will try to avoid this type of double charging (collecting) by checking to see if the fees required to process a delayed original paper were previously charged (collected) and, if previously charged (collected), the Office will not charge (collect) the fees a second time. The Office, however, cannot guarantee that double charging (collecting) will not occur. If the Office processes fees with both the

http://www.uspto.gov/web/offices/com/sol/og/2002/week03/patdups.htm

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implicate and then the original papers, applicant may request a refund under 37 CFR 1.26. If the application has been allowed, the refund request should be filed after the patent has been issued in order to avoid printing delays. When the original paper corresponding to the implicate is received, the original paper will be attached to the implicate in the application file wrapper and will not be listed as a separate contents entry for the application in the Office's records. This procedure will be used notwithstanding the procedure set forth in 4PEP 719.01(a).

/I. How to File a Duplicate Reply during Examination or after Allowance:

- A. If the Application is in a Technology Center: If applicant desires to file a duplicate copy of a reply to an Office action, with an appropriate showing as set forth in 37 CFR 1.8(b)(3), the duplicate should be faxed to the appropriate Technology Center. The reply facsimile numbers for each technology Center that should be used are posted on the USPTO Internet web site at: http://www.uspto.gov/septemberll/faxnotice.htm.
- B. If the Application has been Allowed: If applicant desires to file a suplicate Issue Fee transmittal (e.g., a duplicate PTOL-85B) in order to pay the issue fee and any publication fee, along with a duplicate copy of other post allowance correspondence that was submitted with the issue fee transmittal, accompanied by an appropriate showing as set forth 37 CFR (.8(b)(3), the duplicate submission(s) and the showing(s) should be faxed to Box Issue Fee: (703) 746-4000. If an amendment under 37 CFR 1.312 was nailed before payment of the issue fee, and the Office has not yet received the amendment, applicant should include a copy of the amendment (and a statement explaining when the amendment was filed) with the issue fee payment so that the amendment under 37 CFR 1.312 is not treated as having been filed after payment of the issue fee, and therefore not entered (because amendments after payment of the issue fee are no longer permitted).

/II. Filing of Duplicate New Applications and Replies to OIPE:

The USPTO appreciates, that, where warranted, applicants should take advantage of 37 CPR 1.8(b) and 1.10(e), which permits the filing of duplicate copies of prior correspondence in place of lost or missing originals. While applicants should, as a general rule, promptly file a suplicate (of a new application filing or a reply to an OIPE notice) when they become aware that the Office has not received, and may not ever receive, an item of correspondence, the level of urgency usually associated with such action should take into account the fact that the JSPTO expects to receive all, or substantially all, of the delayed correspondence. In addition, correspondence will be treated as filed (37 CFR 1.10) or timely (37 CFR 1.8), if applicant originally filed under those provisions regardless of the length of time that the correspondence took to reach the Office. In the event the Office has not received the original by March 1, 2002 applicant then should file a suplicate. The Office will mail a return post card receipt and/or filing receipt or notice, as it usually does, when correspondence is received by the Office so applicant will be informed when delayed

http://www.uspto.gov/web/offices/com/sol/og/2002/week03/patdups.htm

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When the USPTO receives a duplicate submission, it shall consider a showing that a reply was timely mailed as set forth 37 CFR 1.8(b), or a petition for a filing date under 37 CFR 1.10(e), to have been timely filed 30 long as the showing or petition is filed by May of 2002. To the extent that this standard for timeliness is less stringent than the requirements set forth in 37 CFR 1.8(b)(1), 1.10(e)(1) and 1.181(f), the provisions of 37 CFR 1.8(b)(1), 1.10(e)(1) and 1.181(f) are hereby sua sponte waived for applications and papers mailed on or after October 13, 2001 and no later than December 1, 2001. Where there is a special need, however, applicants should take advantage of the rules and file duplicates without delay. Special needs could include the following: applications and correspondence mailed on or after October 17, and before October 23, 2001 that have not yet been received by the Office, Patent Cooperation Treaty application filings where priority has been claimed, design applications, replies to a Notice of Incomplete Application (filing date not granted) which was mailed under 37 CFR 1.8, and where certified copies of an application will be needed for priority purposes. In all other situations, before filing a duplicate of a prior mailed correspondence pursuant to 37 IFR 1.8(b) and 1.10(e), applicants might want to wait to see if the original is later received.

If correspondence sent via Express Mail was returned to applicant by the USPS, applicants should not file a duplicate, and should instead mail the original correspondence back to the USPTO as described in the notice "Suspension of the Express Mail' Service of United States Postal Service for mail addressed to ZIP Codes 202xx through 205xx" that is posted on the USPTO Internet Web site at: http://www.uspto.gqv/september11/uspsmaild1srup.htm. applicants who did not file an application using Express Mail may wish to consider filing a duplicate copy of the application via Express Mail, and not including the basic filing fee, or an authorization to charge the basic filing fee to a deposit account. When a duplicate application is submitted, applicant should anticipate that the duplicate (copy) application will be processed as a new application, any fees due will be attempted to be collected (as by either charging a deposit account if an authorization is given, or by nailing a Notice to File Missing Parts, requiring the filing fee(s)). and a filing receipt mailed. If the filing date accorded to the suplicate copy is an earlier filing date than that accorded the application that was previously mailed by first class mail, then applicant should respond to the Notice to File Missing Parts and pay the basic filing fee. If the application that was previously mailed by first class mail is given a filing date before that of the duplicate, applicant need not reply to the Notice to File Missing Parts in the duplicate application, and can just prosecute the original application (thereby allowing the later-filed duplicate application to go abandoned).

When applicant mails a reply to a Notice from OIPE using a certificate of mailing, the reply will be considered to be timely so long as the certificate of mailing was dated before the due date set in the Notice, regardless of the length of time that it took to reach the

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ISPTO. If the date of receipt of the correspondence was important, and applicant did not use Express Mail, and the response has not yet been received, applicant may wish to file a duplicate copy of the raply by express Mail. An example of such a situation would be where a raply to a Notice of Omitted Items included a copy of a missing page of specification and requested a filing date of the date of receipt of the page of specification. The duplicate correspondence mailed to the office pursuant to the Express Mail provisions of 37 CFR 1.10 will be given a filing date of the "date in" accorded by the USPS. If the implicate is faxed to OIPE, the correspondence will be given a filing date as of the date of receipt, or if the actual date of receipt is a saturday, Sunday or Federal Holiday, the next business day (see 37 CFR 1.6(a)(3)).

At the present time applications held in OIPE that are awaiting ceplies will not be processed as abandoned (if a reply could have been timely made during this period of delayed mail) and, therefore, calls requesting applicants to submit duplicate copies of replies to such notices will not generally be made. Calls to request such papers may be nade for design applications.

/III. Patent Term Adjustment:

Applications filed on or after May 29, 2000 may be eligible for patent term adjustment if issue of the patent has been delayed due to the failure of the Office to meet one of the time periods set forth in 35 U.S.C. 154(b)(1), See 35 U.S.C. 154(b), 37 CFR 1,703(f) provides that the date indicated on any certificate of mailing or ransmission under 37 CFR 1.8 is not taken into account in a patent term adjustment calculation. If a reply to any Office action or notice is filed more than three months after the mailing date of the Office action or notice, the period between the date that is three months after the mailing date of the Office action or notice and the date of receipt (37 CFR 1.6) of the reply is considered a failure to engage in reasonable efforts to conclude prosecution, and any patent term adjustment to which the applicant would otherwise be entitled is required to be reduced by this period. See 35 U.S.C. 154(b)(2)(C)(ii) and 37 CFR 1.704(b). 35 U.S.C. 154(b)(3)(C) and 37 CFR 1.705(c), however, provide that an applicant may request reinstatement of all or part of the period of adjustment reduced pursuant to 35 J.S.C. 154(b)(2)(C) and 37 CFR 1.704(b) for failing to reply to an Office action or notice within three months of the date of mailing of the Office action or notice if the applicant provides a showing that, in spite of all due care, the applicant was unable to reply to the office action or notice within three months of the date of mailing of the Office action or notice, but 35 U.S.C. 154(b)(3)(C) does not permit the Office to grant any request for reinstatement for more than three additional months for each reply beyond three months from the date of nailing of the Office action or notice.

If a reply to an Office action or notice was mailed on or after October 13, 2001 and no later than December 1, 2001 (as shown on a certificate of mailing under 37 CFR 1.8), and the applicant is

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otherwise entitled to patent term adjustment (or additional patent term adjustment) but for the fact that there was a reduction of such patent term adjustment under 35 U.S.C. 154(b)(2)(C)(ii) and 37 CFR 1.704(b) independent to the receipt of such reply by the Office more than three business days after the date indicated on the certificate of mailing, the Office will consider the USPS mail situation discussed in this notice to constitute a sufficient showing that, in spite of all due care, the applicant was unable to reply to the Office action or notice within three months of the date of mailing of the Office action or notice. In this situation, the Office will, subject to the conditions set forth below, reinstate a period equal to the period beginning on the date that is four business days after the date indicated on the certificate of mailing on the reply and the date of receipt (37 CFR 1.6) of the ceply in the Office up to a maximum of three months.

If an applicant's request for reinstatement of patent term adjustment for the reason set forth above is the sole basis for requesting a change to the patent term adjustment indicated on the rotice of allowance, the Office will waive the requirements of 37 CFR 1.705 (including fees) if the applicant submits a request for reinstatement of patent term meeting the following conditions:

- (1) The request is submitted no later than the payment of the issue fee but no earlier than the date of mailing of the notice of allowance (unless the paper that was delayed in the mail was the issue fee payment or other paper submitted with or after payment of the issue fee, in which case the request must be submitted as soon as possible but no later than the day before the date of issue of the patent).
- (2) The request is transmitted by facsimile to the Office of Petitions at (703)308-6916.
 - (3) The request includes:
- (a) a copy of the part of page with the certificate of mailing inder 37 CFR 1.8 and a description of the paper (e.g., amendment, issue fee transmittal, notice of appeal);
- (b) the date of receipt in the Office of the paper; and (c) the number of days requested to be reinstated as a result of the USPS mail situation discussed in this notice.

In addition, if applicant has access to the Patent Application Information Retrieval (PAIR) system, a copy of the PAIR contents records with the entry highlighted should also be included.

Applicants are again reminded that to maximize patent term adjustment they may wish to consider filing replies to Office actions:
(1) under the "Express Mail" provisions of 37 CFR 1.10; (2) by facsimile; or (3) by hand-delivery. See Changes to Implement Patent Term Adjustment Under Twenty-Year Patent Term, 65 Fed. Reg. 56366, 56376 (Sept. 18, 2000), 1239 Off. Gaz. Pat. Office 14, 22-23 (Oct. 3, 2000) (final rule) (response to comment 10).

tx. Contact Information:

iπp://www.uspto.gov/web/offices/com/sol/og/2002/week03/patdups.htm

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If you have a question relating to the status of a reply for an application in a Technology Center, please contact the Customer Service Representative of that Technology Center. If you have a question relating to the receipt of a new application or a reply for an application in OIPE, please contact the Customer Service Center in OIPE at (703) 308-1202. If you have a question relating to the receipt of post allowance correspondence, including issue and publication fee payments, please contact the Customer Service Center of the Office of Publications at (703) 305-8283.

Questions concerning this notice should be directed to Darnell Jayne, Legal Advisor, Office of Patent Legal Administration at (703) 308-6906.

December 20, 2001

ROBERT SPAR for STEPHEN G. KUNIN Deputy Commissioner for Patent Examination Policy

EXRIBIT 17



United States Patent and Trademark Office

COMMISSIONER POR PATENTS
UNTED STATES PATENT AND TRADEMARK OFFICE
APACHMOTON, D.C. SOREM

Dear Patent Practitioner,

The USPTO and the patent community have experienced considerable difficulties since mid-October 2001 due to delays in the delivery of mail by the US Postal Service. I want to assure you that the USPTO is making every effort to deal with this situation in ways that avoid any undue burden upon applicants. Over the last few weeks we have seen an increase in the volume of backlogged mail being delivered and we are working very hard to process this mail as quickly as possible. I ask that you bear with us during this challenge and work with us to the extent possible to minimize the impact of these mail delays.

Unfortunately the decentamination process has damaged some of the mail recently delivered to the USPTO. For example, some patent application papers and drawings including photographs have been stuck together and cannot be separated. Some computer discs have been damaged. Some labels have been blackened so that the text on them cannot be read and some papers have been yellowed and are brittle. The amount of damaged mail is small, about 5%, and the senders are being contacted to supply a duplicate when necessary. Additionally, no application is being held abandoned without us first calling the applicant to ensure that a reply has not been delayed in the mail.

I also understand that there has also been some concern from practitioners that outgoing mail from the Office may have been delayed in some instances. Currently, the USPTO is requesting that applicants follow the procedure set forth in Munual of Patent Examining Procedure (MPEP) 710,06 to establish a delay in receipt of mail if they want to request that the period for reply be reset.

Please consult the USPTO Internet web site (http://www.uspto.gov) for updated information on Technology Center tagsimile numbers, surface mail alternatives, and other announcements concerning mail delays. Some antices related to the mail delays that have been recently posted on the USPTO web site are listed on the apached table. Section 511 of the MPEP will be revised to state that in the event of a postal emergency an announcement will be placed on the USPTO web site. Note also that the entry of a paper into an application file can be confirmed by checking the PAIR system via our Electronic Business Center on our web site.

Questions related to mail difficulties should be directed to the Office of Patent Legal Administration, by telephone at (703) 308-6906. Alternatively, the questions may be sent via e-mail to PatentPractice@uspto.gov.

Thank you for your continued cooperation as we deal with this difficult situation.

January 16, 2002

Date

NICHOLAS P. GODICI
Commissioner for Patents

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